

AFFIRMATIVE ACTION PLAN  
*for*  
EQUAL OPPORTUNITY



2001

DUKE UNIVERSITY

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# AFFIRMATIVE ACTION PLAN

*for*

## WOMEN AND MINORITIES

### 2001



## DUKE UNIVERSITY

INCLUDING THE CAMPUS, THE MEDICAL CENTER AND THE DUKE UNIVERSITY HEALTH SYSTEMS\*

Plan Completed: February 2001

Plan Prepared by: Inderdeep Chatrath, Ph.D.

*\*Separate plans will be prepared for Durham Regional  
Hospital and Raleigh Community Hospital*





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February 19, 2001

MEMORANDUM

To: Duke University Colleagues

From: Nannerl O. Keohane *NTK*

I write to call your attention to our updated Affirmative Action Plan for Equal Opportunity. This plan underscores an important institutional commitment to fair employment and to providing opportunities for people of many different backgrounds.

While the enclosed plan satisfies our legal obligations as a recipient of federal grants and contracts, it also represents a much larger pledge to vital moral principles. As affirmative action programs around the country continue to be questioned, we have taken a stand at once ethical and practical. Affirmative action, rightly understood, has brought many benefits to our country, to our people, and to this university, and Duke remains a firm supporter of these policies.

Although the plan was first adopted here in 1970, we have much work still ahead—work that cannot be done by any one office. Please use this document to help everyone in your area think about planning, policies and procedures that relate to equal opportunity issues. I hope you will also make sure that everyone is aware that diversity remains a top priority in our academic strategic plan.

I ask that you approach this matter with close personal interest, and that we weave the principles articulated in the enclosed document into every decision we make at Duke.





**Confidentiality Notice to the  
Office of Federal Contract Compliance  
Program (OFCCP)**

This Affirmative Action Plan (AAP, or Plan) contains substantial confidential information, which is subject to the provisions of 18 USC Section 1905. *Chrysler Corp. v. Brown*, 441 U.S. 281 (1979).

This Affirmative Action Plan is the property of Duke University and is loaned to the Office of Federal Contract Compliance Programs, along with certain other materials requested by the OFCCP, on the condition that the government hold them totally confidential and not release copies to any person.

Pursuant to 5 U.S.C. Sec. 552 Duke University asserts that at least certain sections, exhibits, and compliance investigation files are exempt from the Freedom of Information Act (FOIA) disclosure provisions. Notice is hereby given of a request pursuant to the regulations of the OFCCP that this AAP be kept confidential.

Duke University does not consent to the release of any information whatsoever contained in this Affirmative Action Plan under the Freedom of Information Act. If the OFCCP or any other Federal agency is considering a request to release any portion of this AAP under the Freedom of Information Act, Duke University asks that the government immediately notify the *Office of the University Counsel* of any and all Freedom of Information Act requests received by the government or any other contemplated release of this AAP or any other information obtained by the government from Duke University.

NOTE: The terms "Affirmative Action Plan," "AAP," or "Plan" include this document and its supporting appendixes, exhibits, documents, data, and all materials provided by Duke University to the OFCCP or other governmental agency.





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## Introduction

### Foreword by the Vice President for Institutional Equity

In 1965, President Lyndon Johnson signed Executive Order 11246 requiring federal contractors to undertake affirmative action to increase the number of minorities they employed. Five years later, President Richard Nixon extended the requirements under this Executive Order to require that all federal contractors include “goals and timetables” when underutilization of women or minorities in certain job groups was found. It was this year, 1970, that Duke University issued its first Affirmative Action Plan. Upon releasing the Plan, University President Sanford said:

*I feel that this Plan is something far beyond a necessary compliance with governmental policy. Members of our community, I believe, will agree with me that it is rooted more deeply in moral consciousness and sound principles of good human relationships. Our achievements under this Plan will depend on the degree to which each of us assumes real responsibility for assuring its success. Our desire is that we follow the spirit as well as the letter of the Plan in an atmosphere of sincere good will.*

That same year, this sentiment was ratified by the Board of Trustees in a resolution that indicated the University’s adherence to a policy of equal opportunity “not solely because of legal requirement, but because it is a basic element of human dignity.”

Thirty years after the release of its first Affirmative Action Plan, I am proud to say that Duke continues to be steadfast in upholding these ideals. President Keohane has articulated a vision of a Duke community that is “... ideal as possible, rising above all lines of discrimination, built upon cooperation and understanding sympathy as a bond between individuals” (1997 Race Day/United Way Kickoff), and has said that “discrimination in any form poisons the life of an institution ... Equal opportunity is a matter of law and conscience, and also of good human relations” (Equal Opportunity Policy brochure).

Duke’s Office for Institutional Equity (OIE) was created in 1995 to ensure fair treatment for all members of the University community and to advance the University’s diversity goals. Each year, OIE updates and monitors Duke’s Affirmative Action Plan, working with the President, the Provost, and senior staff and managers to ensure that we recruit, hire and retain women and minorities. However, a diverse and respectful workplace and learning environment requires support and commitment from everyone. While we can take pride that our community includes talented men and women of different races, cultures, religions, life experiences, sexual orientations and physical abilities, we cannot think that our work is done, for there is still much to do.

With this update of our Affirmative Action Plan, we bring to the members of the University community a sense of continuity, a report on the progress we have made towards creating a talented, diverse community and an awareness of the additional efforts necessary to truly bring about the kind of community envisioned and articulated by President Keohane.

*Sally M. Dickson*

Vice President, Institutional Equity





## **Equal Opportunity Policy Statement**

The University shall offer equal opportunity to its employees and applicants for employment without regard to race, color, religion, national origin, handicap or veteran status, sexual orientation or preference, sex or age. This policy shall be followed in recruiting, hiring, appointment and promotion into all academic or nonacademic positions. The University will insure that other personnel actions such as: compensation, benefits, transfers, layoffs, return from layoffs, demotions and terminations, participation in University-sponsored training programs, education, tuition assistance, social and recreational programs, and use of University facilities, will be administered without discrimination on the above bases.

## **Non-Discrimination Policy**

Duke University prohibits employment discrimination and provides equal employment opportunity without regard to race, color, religion, national origin, disability, sexual orientation or preference, veteran status, gender, or age. The University also does not tolerate harassment of any kind.

## **Dissemination of the Equal Opportunity Policy**

The Equal Opportunity Policy is distributed to all members of the University community. Copies are provided to new employees at orientation sessions, and to union officials representing University employees, and are posted on bulletin boards throughout the University. The statement is published in the Duke University Policy Manual, the Faculty Handbook, the Staff Handbook, and the Duke Hospital Policy and Procedure Manual.

The Policy is discussed in management training programs and is described in various literature distributed by the University. Nondiscrimination clauses are included in all union agreements and all such contractual provisions are reviewed to insure that they are nondiscriminatory. Purchase orders, leases, contracts, etc. incorporate an equal opportunity clause as required.

Publications of the University picture both minority and non-minority men and women and persons with disabilities. All recruiting advertisements state that the University is an Equal Opportunity/Affirmative Action Employer.





## Description of the Affirmative Action Plan

An affirmative action plan includes certain elements that require annual updates to incorporate current data. The first is the *workforce analysis*, a tabulation of the composition of Duke's workforce by race and sex within job group categories (type of work) and organizational units. The second is the *utilization analysis* which compares Duke's current workforce with general workforce availability data to determine whether women or minorities are underutilized within job group categories at Duke. When underutilization of minorities and women is identified, a placement goal is set to move towards adequate representation. Sections I and II of this report provide the 2001 updates of the workforce analysis and the utilization analysis.

Two supporting sections follow these updates. Section III discusses the causes of problem areas and details current and potential corrective actions. Section IV provides a description of the University's monitoring and reporting systems.

Additional information can be found in five appendices to the plan. Appendix A provides a description of job groups. Appendix B displays workforce data for academic departments containing ten or fewer employees. Appendix C is a comparison of employment goals for 1997, 1998, 1999 and 2000. Appendix D details Duke University's harassment policy, and Appendix E is a description of Duke's best practices in equal opportunity and affirmative action.

This Plan does not include data or analysis for Duke University Health System affiliates Raleigh Community Hospital and Durham Regional Hospital. These institutions will be prepare and disseminate separate affirmative action plans.

## Changes and Enhancements

This year's plan, like last year's, features a number of important changes and enhancements to the analysis and presentation of the relevant data. These changes include the following:

- *Changes in response to the revision of 41 CFR §60.* On November 13, 2000, the OFCCP published revisions to the regulations governing the implementation of Executive Order 11246, which requires federal contractors to publish affirmative action plans. The new regulations became effective on December 13, 2000. As a result, this plan includes the following mandated changes:
  - ⇒ The computation of workforce availabilities of women and minorities has been changed to consider two factors: the percentage within the reasonable recruitment area of women and minorities with the requisite skills, and the percentage within Duke of women or minorities who can be promoted, transferred, or trained to move into each job group. More detail on the transition to this two-factor analysis from the older eight-factor analysis can be found in Section II.





⇒ One-year placement goals have replaced multi-year employment goals for job groups that are identified as underutilized for women or minorities. In previous plans, numerical employment goals were set over a reasonable number of years for each group that was identified as underutilized. In this year's plan, proportional placement goals have been set for each group that shows underutilization, setting a target hiring rate for the following year. In next year's plan, the actual hiring rates will be compared with the placement goals set in this plan. For purposes of comparison with last year's plan only, multi-year employment goals calculated as they were in previous years have been included in Appendix C.

- *Some positions with fewer than ten employees are now subject to review.* In the past, positions with fewer than ten employees were not included in the review process because they contained too few employees to perform statistically significant utilization analyses. However, in certain job groups where underutilization exists, there are large numbers of positions with fewer than ten employees. Thus, all positions in pay levels 16, 17, 18, 19, and 98 and some positions in job groups 63 and 64 have been placed under review based on underutilization not at the position code level but at the job group level. For more information on positions under review, see Section IV.
- *The organizational structure of the School of Medicine and Duke University Health System was revised.* The medical departments in Table 1C were revised and rearranged to reflect changes in the ever-evolving structure of the Health System and to clarify the distinction between the educational functions of the School of Medicine and the service-delivery functions of the Health System.

These changes have imposed limitations upon our ability to make direct comparisons with data from previous years. Therefore, we recommend using caution in interpreting trends in employment figures and other data over the last few years.





## **Administration of the Affirmative Action Plan**

The Office of the Vice President for Institutional Equity is responsible for developing the University Affirmative Action Plan in collaboration with the various departments of the University. The Office also provides assistance to departments in complying with the requirements of the Plan.

In recognition of the management responsibility detailed in the policy statements above, the University has provided a copy of the Plan to each organizational unit of the University. The Plan is also available to staff and students upon request.

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## **Section I: Workforce Analysis**

The workforce analysis generated for the Affirmative Action Plan is produced from the payroll data available as of October 1<sup>st</sup> of each year. These data provide workforce distributions for the Campus, School of Medicine and the Health System in two main categories: 1) job groups, and 2) organizational units. Job groups are categories of jobs having similar content, wage rates and opportunities. Organizational units reflect cost centers defined by designated fund codes.

In the job group analysis, faculty are broken down by academic discipline and staff are divided into two categories: exempt staff and non-exempt staff. (Exempt staff are those who exempt from the federal Fair Labor Standards act; broadly, they are executive, administrative, and professional salaried workers.) There are eight job groups in the exempt category and nineteen job groups in the non-exempt category. Definitions of the various job groups are provided in Appendix A. Table 1A displays job group data for faculty and staff including the total number of incumbents and the number of female and minority employees in each category. Only “regular rank” faculty, a category which includes tenure track and selected non-tenure track faculty (those who meet criteria for voting privileges), are included in these analyses. There are approximately 2,600 non-regular rank faculty who are excluded. Non-regular rank faculty include adjunct, research, short-term and courtesy appointments. Both faculty and staff have grown slightly in the past year. This year’s faculty total is 2199, as compared to 2186 in 1999; staff number 16,878, as compared to 16,814 in 1999. Further discussion of the impact of these changes in specific disciplines and job groups can be found in Section III.

The distribution of faculty by organizational units is presented in Table 1B. Faculty distribution data for females and minority group members is provided by academic discipline in seven categories (Social Sciences, Humanities, Natural Sciences, Professional Schools, School of Nursing, Basic Sciences, and Clinical Sciences). As above, only regular rank faculty are included.

Distribution of staff by organizational units is presented in Table 1C. Staff information is divided into three sections: Campus, Medical Center, and Health System. The distribution of staff by organizational units has been considerably revised, particularly in the Medical Center and the Health System. Readers are advised to be careful in making comparisons with data from previous years.

Campus staff are grouped into four categories: University Administration, Provost Academic Support, Graduate and Professional Schools, and Executive Vice President. Data for academic units that consist of ten or fewer employees are provided in Appendix B. The staff groups for the Medical Center are: Administration, Centers, and Medical Education, including Basic Sciences and Clinical Sciences. Health System staff categories are: Corporate Services, Administration, Affiliates, Duke Hospital, and Private Diagnostic Clinics.

The data for Duke’s entire workforce are summarized in Table 1D. All supporting data and worksheets for the workforce analyses are available from the Office for Institutional Equity for examination by any member of the University community.





**Table 1A: Distribution of Faculty and Staff by Job Group**

			Minorities				
	Total	Female	Total	Black	Hispanic	Asian	American Indian
Regular Rank Faculty*							
Campus							
Administration	10	1	0	0	0	0	0
Social Sciences	178	46	22	11	1	10	0
Humanities	170	75	33	14	6	13	0
Arts & Sciences Programs	31	18	6	5	1	0	0
Natural Sciences	186	30	20	2	2	16	0
Professional Schools							
Divinity School	30	8	5	5	0	0	0
Pratt School of Engineering							
Biomedical Engineering	31	6	7	0	1	6	0
Civil Engineering	20	1	3	1	1	1	0
Electrical Engineering	25	3	7	1	0	6	0
Mechanical Engineering	30	5	4	0	0	4	0
Nicholas School of the Environment	37	10	4	0	2	2	0
Marine Laboratory	11	2	0	0	0	0	0
Fuqua School of Business	91	24	9	1	0	8	0
Law School	37	8	4	3	0	1	0
Medical Center							
Basic Sciences	131	26	22	1	4	17	0
Clinical Sciences	1,128	294	125	27	15	83	0
School of Nursing	30	25	2	2	0	0	0
Medical Center Programs	23	12	1	0	0	1	0
Regular Rank Faculty Subtotal:	2,199	594	274	73	33	168	0
Professional and Administrative Staff by Job Group**							
11 Officials & Managers	746	381	80	64	4	12	0
Professional							
31 Job level 14 & above	420	219	49	27	5	16	1
32 Job level 11	888	663	107	87	8	12	0
33 Job level 12	1,046	724	176	145	6	23	2
34 Job level 13	805	532	151	89	13	48	1
35 Job level 10 & below	764	558	150	130	7	12	1
36 Research Associates	1,113	479	339	36	33	262	8
37 Professional Librarians	105	73	10	6	1	3	0
Non-Faculty Professional & Administrative Staff Subtotal:	5,887	3,629	1,062	584	77	388	13

\*Includes regular rank faculty.

\*\*Job group descriptions are listed in Appendix A.





**Table 1A: Distribution of Faculty and Staff by Job Group**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Support Staff							
38 Staff Nurse, job level 10	1,668	1,497	365	262	9	90	4
39 Registered Nurse, job level 11	71	66	7	5	0	2	0
Clerical							
41 Job level 0 & 1-4	399	268	247	234	2	10	1
42 Job level 5	542	469	358	348	1	9	0
43 Job level 6	1,094	991	451	439	4	6	2
44 Job level 7 & above	1,527	1,402	555	530	14	9	2
Technical/Paraprofessional							
51 Job level 0 & 2-6	940	727	566	528	13	22	3
52 Job level 7	866	682	309	279	6	20	4
53 Job level 8 & above	1,731	1,139	430	334	22	70	4
Skilled Crafts							
61 Bargaining Unit, Job level 1-6	19	0	7	5	2	0	0
62 Bargaining Unit, Job level 7-10	98	1	15	15	0	0	0
63 Non-Union, Job level 0 & 1-7	58	0	2	2	0	0	0
64 Non-Union, Job level 8 & 9	90	0	7	7	0	0	0
65 Non-Union, Job level 10 & above	71	0	4	3	1	0	0
Service							
71 Bargaining Unit, Job level 1	532	372	507	496	8	2	1
72 Bargaining Unit, Job level 2-6	482	192	447	429	14	4	0
73 Non-Union, Job level 2	89	49	69	66	1	2	0
74 Non-Union, Job level 3 & 4	371	185	282	276	1	5	0
75 Non-Union, Job level 0 & 5-13	343	162	248	244	2	1	1
Support Staff Subtotal:	10,991	8,202	4,876	4,502	100	252	22
Staff Subtotal:	16,878	11,831	5,938	5,086	177	640	35
Faculty and Staff Total:	19,077	12,425	6,212	5,159	210	808	35



**Table 1B: Distribution of Faculty by Organizational Unit**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
<b>Campus Faculty</b>							
Administration	10	1	0	0	0	0	0
<b>Social Sciences</b>							
Cultural Anthropology	10	4	2	1	0	1	0
Economics	30	3	2	0	0	2	0
Education	3	1	0	0	0	0	0
Health, Physical Ed. & Recreation	8	1	0	0	0	0	0
History	37	12	4	4	0	0	0
Political Science	27	5	3	1	0	2	0
Psychology (Social & Health Sciences)	12	7	2	1	0	1	0
Public Policy	32	6	4	3	0	1	0
Sociology	19	7	5	1	1	3	0
<b>Social Sciences Subtotal:</b>	<b>178</b>	<b>46</b>	<b>22</b>	<b>11</b>	<b>1</b>	<b>10</b>	<b>0</b>
<b>Humanities</b>							
Art & Art History	14	9	2	1	0	1	0
Asian & African Languages	12	9	9	1	0	8	0
Classical Studies	11	3	1	1	0	0	0
Comparative Area Studies	1	0	0	0	0	0	0
English	33	13	6	4	1	1	0
Germanic Languages	8	3	0	0	0	0	0
Music	22	7	4	2	1	1	0
Philosophy	12	2	2	0	1	1	0
Program in Literature	16	7	3	2	1	0	0
Religion	14	5	3	2	0	1	0
Romance Studies	22	12	3	1	2	0	0
Slavic Language & Literature	5	5	0	0	0	0	0
<b>Humanities Subtotal:</b>	<b>170</b>	<b>75</b>	<b>33</b>	<b>14</b>	<b>6</b>	<b>13</b>	<b>0</b>





**Table 1B: Distribution of Faculty by Organizational Unit**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
<b>Arts &amp; Sciences Programs</b>	31	18	6	5	1	0	0
<b>Natural Sciences</b>							
Bio-Anthro/Anatomy	10	6	0	0	0	0	0
Biology	43	9	3	0	0	3	0
Chemistry	24	3	3	0	0	3	0
Computer Science	21	3	2	0	0	2	0
Mathematics	34	1	4	1	0	3	0
Physics	27	2	7	1	1	5	0
Psychology	16	4	1	0	1	0	0
Statistics & Decision Sciences	11	2	0	0	0	0	0
<b>Natural Sciences Subtotal:</b>	<b>186</b>	<b>30</b>	<b>20</b>	<b>2</b>	<b>2</b>	<b>16</b>	<b>0</b>
<b>Professional Schools</b>							
Divinity School	30	8	5	5	0	0	0
Biomedical Engineering	31	6	7	0	1	6	0
Civil Engineering	20	1	3	1	1	1	0
Electrical Engineering	25	3	7	1	0	6	0
Mechanical Engineering	30	5	4	0	0	4	0
Nicholas School of the Environment	37	10	4	0	2	2	0
Marine Lab	11	2	0	0	0	0	0
Fuqua School of Business	91	24	9	1	0	8	0
Law School	37	8	4	3	0	1	0
<b>Professional Schools Subtotal:</b>	<b>312</b>	<b>67</b>	<b>43</b>	<b>11</b>	<b>4</b>	<b>28</b>	<b>0</b>
<b>Total Campus Faculty:</b>	<b>887</b>	<b>237</b>	<b>124</b>	<b>43</b>	<b>14</b>	<b>67</b>	<b>0</b>





**Table 1B: Distribution of Faculty by Organizational Unit**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Medical Center Faculty							
School of Nursing	30	25	2	2	0	0	0
Basic Sciences							
Biological Anthropology/Anatomy	4	0	0	0	0	0	0
Biochemistry & Pharmacology	20	5	2	0	0	2	0
Cancer Biology	30	7	7	0	1	6	0
Cell Biology	18	4	1	0	0	1	0
Genetics	11	1	2	0	2	0	0
Immunology	15	3	4	0	0	4	0
Microbiology	11	2	1	0	0	1	0
Neurobiology	22	4	5	1	1	3	0
Basic Sciences Subtotal:	131	26	22	1	4	17	0
Clinical Sciences							
Anesthesiology	83	23	13	3	0	10	0
Community & Family Medicine	72	33	4	1	0	3	0
Medicine	340	86	38	7	3	28	0
Obstetrics/Gynecology	52	16	4	3	1	0	0
Ophthalmology	35	9	10	1	3	6	0
Pathology	64	16	8	1	2	5	0
Pediatrics	93	28	11	4	1	6	0
Psychiatry	128	44	14	2	2	10	0
Radiology	77	13	7	0	2	5	0
Radiation Oncology	25	9	5	0	0	5	0
Surgery	159	17	11	5	1	5	0
Clinical Sciences Subtotal:	1,128	294	125	27	15	83	0
Medical Center Programs Subtotal:	23	12	1	0	0	1	0
Medical Center Faculty Total:	1,312	357	150	30	19	101	0
Faculty Total:	2,199	594	274	73	33	168	0



**Table 1C: Distribution of Staff by Organizational Unit**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Section 1: Campus							
University Administration							
Office of the President	18	13	0	0	0	0	0
Athletics Department	158	52	13	11	0	2	0
Alumni Affairs & Development	114	89	18	16	1	1	0
Duke Management Company	24	13	4	4	0	0	0
Institutional Equity	11	9	7	6	0	1	0
Public Affairs & Government Relations	34	15	4	4	0	0	0
University Secretary	5	5	0	0	0	0	0
University Counsel	12	7	0	0	0	0	0
University Administration Subtotal:	376	203	46	41	1	4	0
Executive Vice President							
Staff	6	3	2	2	0	0	0
Associate Treasurer	4	2	1	1	0	0	0
Auxiliary Services	829	412	576	554	15	5	2
Business Services	66	57	23	20	0	2	1
Duke Credit Union	30	27	13	12	0	1	0
Duke Chapel	4	1	0	0	0	0	0
Duke Gardens	13	4	0	0	0	0	0
Duke University Police	143	30	55	51	1	3	0
Facilities Management	429	29	84	79	3	1	1
Financial Services	106	80	30	26	1	2	1
Human Resources	120	95	38	37	1	0	0
Information Technology	242	103	60	51	2	7	0
Internal Audit	13	6	2	2	0	0	0
Procurement Services	32	21	7	7	0	0	0
Residential Life Review	2	1	0	0	0	0	0
Administrative Systems - SAP	13	7	2	2	0	0	0
University Architect	12	5	2	2	0	0	0
Executive Vice President Subtotal:	2,064	883	895	846	23	21	5
Provost Academic Support							
Campus Agencies	21	16	1	1	0	0	0
Duke University Press	82	58	13	10	1	2	0
Library Affairs	203	149	43	31	3	9	0
Museum of Art	14	6	4	4	0	0	0
Provost's Staff	33	22	3	2	0	1	0
Research Administration	13	10	3	3	0	0	0
Staff & Deans	75	51	14	14	0	0	0
Student Affairs	117	80	26	22	1	3	0
Student Services	79	66	27	25	1	1	0





**Table 1C: Distribution of Staff by Organizational Unit**

			Minorities				
	Total	Female	Total	Black	Hispanic	Asian	American Indian
Section 1: Campus (cont.)							
<i>Departments and Programs</i>							
Biology	81	43	11	2	0	9	0
Center for Child and Family Policy	17	10	4	3	1	0	0
Center for Demographic Studies	26	9	3	0	0	3	0
Chemistry	48	17	15	2	0	13	0
Computer Science	12	8	3	3	0	0	0
Continuing Education/Summer	16	12	1	1	0	0	0
Documentary Studies	22	15	3	1	1	1	0
Economics	13	12	2	2	0	0	0
English	11	7	1	0	1	0	0
Fast Track	26	18	12	12	0	0	0
Health Policy	18	12	6	3	0	3	0
Interdisciplinary Programs	34	20	6	4	0	2	0
International Activities	18	14	0	0	0	0	0
Mathematics	12	6	3	1	0	2	0
Music	13	5	5	3	0	2	0
Organization for Tropical Studies	19	11	10	3	7	0	0
Primate Center	25	15	4	3	0	1	0
Physics	57	14	12	3	2	6	1
Physics Free Electrons Lab.	15	3	2	1	0	1	0
Political Science	12	11	2	1	1	0	0
Psychology - Experimental	28	17	2	2	0	0	0
Psychology - Social/Health	11	10	2	2	0	0	0
Public Policy	37	26	10	7	0	3	0
Talent Identification Program	33	26	8	8	0	0	0
Programs and Department Staff*	197	143	42	38	1	3	0
Provost Academic Support Subtotal:	1,438	942	303	217	20	65	1
Graduate and Professional Schools							
Graduate School	24	22	2	2	0	0	0
Divinity School	235	135	31	25	0	4	2
Fuqua School of Business	191	137	47	38	4	5	0
Law School	96	70	16	13	0	2	1
Pratt School of Engineering	94	47	25	3	1	21	0
Nicholas School of the Environment	74	40	8	2	1	5	0
Nicholas School of the Environment: Marine Lab	54	27	8	8	0	0	0
Graduate and Professional Schools Subtotal:	768	478	137	91	6	37	3
Campus Subtotal:	4,646	2,506	1,381	1,195	50	127	9

\*This category represents units with staff of 10 or fewer. Details available in Appendix B.



**Table 1C: Distribution of Staff by Organizational Unit**

			Minorities				
	Total	Female	Total	Black	Hispanic	Asian	American Indian
Section 2: Medical Center							
Administration							
Development & Alumni Affairs	41	32	14	13	0	1	0
Institutional Review Board	12	11	4	3	0	1	0
International Activities	14	11	5	5	0	0	0
Development Group	11	8	0	0	0	0	0
Financial Affairs	1	0	0	0	0	0	0
Office of Science & Technology	19	14	2	2	0	0	0
Research Administration	15	14	4	3	1	0	0
Special Programs	2	2	0	0	0	0	0
Vice Chancellor Academic Affairs & Deans	8	4	4	4	0	0	0
Vice Dean, Medical Education	125	80	28	27	0	1	0
Vice Deans' staff	22	15	4	3	0	1	0
Administration Subtotal:	270	191	65	60	1	4	0
Centers							
Duke Clinical Research Inst (DCRI)	558	423	120	98	4	18	0
Comprehensive Cancer Center	190	154	43	32	1	10	0
Center for Genome Technology	3	2	0	0	0	0	0
Center for Health Policy	8	6	1	0	0	1	0
Center for Living	89	68	15	14	1	0	0
Center for Study of Aging	27	21	2	2	0	0	0
Center for the Study of Medicine, Ethics & Humanities	2	2	0	0	0	0	0
Lab Animal Resources	50	20	27	23	1	3	0
Rankin Clinical Research Unit	29	28	8	8	0	0	0
Centers Subtotal:	956	724	216	177	7	32	0
Medical Education							
School of Nursing	22	17	11	8	2	1	0
Physical Therapy Program	5	3	0	0	0	0	0
Basic Sciences							
Biochemistry	4	4	2	2	0	0	0
Biological Anthropology & Anatomy	14	8	0	0	0	0	0
Cell Biology	62	31	19	7	3	8	1
Genetics	45	31	16	4	1	11	0
Microbiology	111	61	47	20	4	22	1
Immunology	37	24	15	4	0	11	0
Neurobiology	108	65	28	6	1	21	0
Pharmacology & Cancer Biology	105	61	34	8	2	24	0





**Table 1C: Distribution of Staff by Organizational Unit**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Section 2: Medical Center (cont.)							
<i>Clinical Sciences</i>							
Anesthesiology	120	78	31	24	0	7	0
Divers Alert Network	50	20	10	8	1	1	0
Obstetrics/Gynecology	52	49	12	10	0	2	0
Ophthalmology	83	62	23	16	0	7	0
Surgery	412	300	90	51	5	27	7
Community & Family Medicine	137	120	41	39	1	1	0
Medicine	830	647	221	127	15	77	2
Pathology	129	91	34	19	2	13	0
Pediatrics	241	198	53	38	2	11	2
Psychiatry	278	212	62	47	1	13	1
Radiology	80	39	24	11	2	11	0
Radiation Oncology	41	19	20	3	1	16	0
Medical Education Subtotal:	2,966	2,140	793	452	43	284	14
Medical Center Subtotal:	4,192	3,055	1,074	689	51	320	14



**Table 1C: Distribution of Staff by Organizational Unit**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Section 3: Health System							
Corporate Services							
Chief Financial Officer	155	124	48	47	1	0	0
Chief Information Officer	9	7	3	3	0	0	0
Clinical Risk Management	10	8	1	1	0	0	0
Community Health	16	16	11	10	1	0	0
Design & Construction	22	13	4	4	0	0	0
General Administration	15	12	5	4	0	1	0
Human Resources	2	1	1	1	0	0	0
Medical Center Information Systems	148	64	46	36	4	6	0
News and Information Office	18	13	2	1	1	0	0
Occupational & Environmental Safety	47	16	9	8	0	1	0
Plant Engineering & Operations	59	27	28	27	1	0	0
Transportation & Parking	43	9	7	7	0	0	0
Vice Chancellor for Health Affairs	8	6	3	3	0	0	0
Vice President, Marketing and Planning*	29	23	8	7	0	1	0
Vice President, Network Development	36	24	4	4	0	0	0
Corporate Services Subtotal:	617	363	180	163	8	9	0
Administration							
Chief Financial Officer	44	24	8	7	0	1	0
Chief Medical Officer	2	1	1	1	0	0	0
Chief, Hospitals & Health Care Facilities	4	4	1	1	0	0	0
Executive Vice President	20	14	1	1	0	0	0
Health System Counsel	1	1	0	0	0	0	0
Administration Subtotal:	71	44	11	10	0	1	0
Affiliates							
Duke Community Infusion Services	43	30	13	12	0	1	0
DU Associated Physicians	303	279	63	59	4	0	0
Triangle Hospice	73	61	20	20	0	0	0
Affiliates Subtotal:	419	370	96	91	4	1	0
Duke Hospital							
Administration							
Director's Office	11	7	5	5	0	0	0
Innovation and Strategic Improvement	5	4	2	1	0	1	0
International Affiliations	18	11	7	1	4	2	0
Managed Care Services	9	6	1	1	0	0	0
Operations Administration	7	5	3	3	0	0	0
Diagnostic, Therapeutic & Ambulatory Surgery							
Ambulatory Surgery Center	67	52	25	22	0	3	0
Anesthesia Services	63	39	12	10	0	2	0
Diagnostic & Therapeutic ASC	6	3	3	1	0	2	0

\*Department has been eliminated due to reorganization





**Table 1C: Distribution of Staff by Organizational Unit**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Section 3: Health System (cont.)							
Digestive Services	44	37	20	14	2	4	0
Eye Center	48	40	21	20	0	1	0
Oncology Services	195	169	71	63	4	4	0
Operating Rooms	208	165	90	72	2	16	0
Organ Procurement/ Support	36	32	26	24	0	2	0
Perfusion Services	14	6	2	2	0	0	0
Physical & Occupational Therapy	86	67	7	6	0	1	0
Radiological Services	398	278	172	166	1	4	1
Recovery Room	68	55	28	24	0	4	0
Emergency Patient & Visitor Management							
Emergency Patient & Visitor Management	334	253	192	181	2	9	0
Emergency Services	206	147	33	29	1	2	1
Care Coordination Services	157	145	42	37	2	2	1
In-Patient Services							
Dietary Services	232	180	222	221	0	1	0
Environmental Services	500	286	471	456	13	2	0
General Medical Clinic	14	13	10	10	0	0	0
Lenox Baker	3	2	1	1	0	0	0
Medical Wards & Units	339	311	160	146	2	12	0
Nursing Services	73	66	29	28	1	0	0
Ob-Gyn Wards & Units	163	161	79	62	4	13	0
Pediatric Wards & Units	318	305	81	70	0	10	1
Respiratory Therapy	120	58	23	20	0	3	0
Surgical Wards & Units	319	279	137	123	1	11	2
Women's Services	24	21	8	8	0	0	0
Pharmacy, Product Management Partnerships & Labs							
Cardiac Services	452	371	174	152	2	20	0
Cardiovascular Services	5	4	0	0	0	0	0
Clinical Engineering -- Laundry	76	35	55	55	0	0	0
Employee & Customer Programs	50	44	23	23	0	0	0
Hospital Lab Services	459	351	168	137	8	23	0
Infection Control Unit	4	3	0	0	0	0	0
Materials Management	101	51	81	77	1	3	0
Outpatient - Phlebotomy	20	18	19	17	1	0	1
Pharmacy	258	172	101	83	4	12	2
Psychiatric Clinic	15	13	4	4	0	0	0
Psychiatric Wards & Units	43	38	25	25	0	0	0
Miscellaneous Services	26	21	3	2	0	1	0
Duke Hospital Subtotal:	5,596	4,324	2,636	2,402	55	170	9
Private Diagnostic Clinics							
Non-Clinical							
Administration	72	50	4	4	0	0	0
Finance	23	18	4	4	0	0	0
MIS	39	19	9	7	0	1	1
Non-Duke	7	7	1	1	0	0	0



**Table 1C: Distribution of Staff by Organizational Unit**

	Total	Female	Minorities				
			Total	Black	Hispanic	Asian	American Indian
Section 3: Health System (cont.)							
<i>Clinical</i>							
Community Eye Center	1	1	1	1	0	0	0
Family and Community Medicine	41	37	26	26	0	0	0
General	64	55	26	26	0	0	0
Medical	222	196	121	115	1	5	0
Multidisciplinary	58	53	28	28	0	0	0
Pediatric	83	83	41	41	0	0	0
Psychiatry and Behavioral Science	8	5	4	4	0	0	0
Surgical	256	221	115	113	0	2	0
Winston Salem Ophthalmology	12	12	2	1	1	0	0
CPDC	98	95	21	15	2	2	2
PDC Subtotal:	1,337	1,169	560	536	9	12	3
Health System Subtotal:	8,040	6,270	3,483	3,202	76	193	12





**Table 1D: Summary of Campus, Medical Center and Health System Faculty and Staff**

			Minorities					
		Total Workforce	Female	Total	Black	Hispanic	Asian	American Indian
Faculty								
Campus		887	237	124	43	14	67	0
Medical Center		1,312	357	150	30	19	101	0
	Subtotal:	2,199	594	274	73	33	168	0
Staff								
Campus		4,646	2,506	1,381	1,195	50	127	9
Medical Center		4,192	3,055	1,074	689	51	320	14
Duke University Health System		8,040	6,270	3,483	3,202	76	193	12
	Subtotal:	16,878	11,831	5,938	5,086	177	640	35
	Total:	19,077	12,425	6,212	5,159	210	808	35









## Section II: Utilization Analysis and Placement Goals

The utilization analysis compares the representation of protected groups (women and minorities) within Duke University's workforce with the availability of these groups in the appropriate labor market pool for each job group. *Underutilization is defined by the regulations as fewer women or minorities actually participating in a particular job group than would reasonably be expected given their availability.* The difference between availability and actual participation must be statistically significant in order for the disparity to indicate underutilization. When the discrepancy between actual participation and expected representation is less than one whole person, no further analysis is necessary to conclude that such disparity occurred merely by chance.

This analysis applies standard deviation tests approved by the Supreme Court in Firestone Tire & Rubber Co., Inc. v. Marshall to determine statistical significance in all job groups with 300 or more incumbents. A disparity of two standard deviations or greater indicates underutilization. For job groups with 300 or fewer incumbents, the exact binomial model is used. This model is considered a mathematically appropriate test of statistical significance regardless of job group size or availability percentage.

### Calculation of Availability

Tabulated figures for the utilization analysis are displayed in Table 2. Availability figures used in the utilization analysis are calculated using the two-factor analysis for each job group prescribed by federal regulations (41 CFR §60-2.14). The first factor involves establishing the percentage of minorities or women with requisite skills in the reasonable recruitment area. This factor incorporates census data and data on skilled training. The second factor involves establishing the percentage of minorities among those promotable, transferable, and trainable within the University. This factor takes into account Duke University data on promotions and in-house training. The two factors and their constituent components are weighted appropriately for each job group.

#### *Faculty Availability*

The data used to calculate faculty availability are drawn from the following reports:

- *Summary Report 1998: Doctorate Recipients from United States Universities* (National Opinion Research Center: Chicago, IL, 1999) lists Ph.D. recipients in the United States, broken down by race, gender and academic discipline. Included in these statistics is information regarding degree recipients in the humanities, social sciences, physical sciences, and selected professional disciplines.
- *Enrollments and Graduations in Baccalaureate and Graduate Programs in Nursing* (American Association of Colleges of Nursing: Washington, DC, 2000) lists enrollments and graduates of nursing programs.



- *U.S. Medical School Faculty, 1999* (Association of American Medical Colleges: World Wide Web, 1999) provides a national listing of medical school faculty.
- *Faculty Appointments Register* (Association of American Law Schools: 1999) provides the number of persons who have registered to be considered for faculty employment by an American law school.

### *Staff Availability*

Refined occupational data from the 1990 Census are used to compute staff availability. These figures are drawn from national, North Carolina, and Durham, Wake and Orange County reports of recruiting area data. Other available workforce data and labor market studies are also used for the utilization analysis, including data from the National Center for Education Statistics and the North Carolina Community College system. For research associates, relevant faculty availability data are used.

### **Utilization Analysis**

In conducting the Utilization Analysis, the expected workforce for each faculty group and staff job group is calculated by multiplying the actual number of employees in that group by its availability percentage. The expected proportions of women and minorities in each group are compared with the actual percentages at Duke, taken from Table 1A. If the actual representation is less than the expected representation, the appropriate statistical test is used to determine whether the difference is statistically significant. If it is found to be statistically significant, then the group is designated as showing underutilization and a placement goal is determined.

### **Placement Goals**

The final step in the preparation of the annual update of the Affirmative Action Plan is the calculation of goals which the University will work to achieve. The federal regulations state:

Placement goals may not be rigid and inflexible quotas, which must be met, nor are they to be considered as either a ceiling or a floor for the employment of particular groups. Quotas are expressly forbidden. In all employment decisions, the contractor must make selections in a nondiscriminatory manner. Placement goals do not provide the contractor with a justification to extend a preference to any individual, select an individual, or adversely affect an individual's employment status, on the basis of that person's race, color, religion, sex, or national origin.

(41 CFR §60-2.16)

*It is the overall personnel process that is of primary concern in determining compliance rather than the exact degree to which goals have been met.* Consequently we have established personnel practices, including adequate notification of position openings and evaluation of





employment and promotion qualifications, according to well-articulated and fair criteria. Fair employment practices supporting our good faith efforts to meet employment goals are enumerated in the personnel manuals and handbooks of the University.

Pursuant to the revised federal regulations, goals this year are *percentage annual placement goals*. This means that each placement goal is expressed as a percentage indicating the target hiring rate for the underutilized group. These goals have been set equal to the availability percentage for each group, as per the regulations: “Where . . . a contractor is required to establish a placement goal for a particular job group, the contractor must establish a percentage annual placement goal at least equal to the availability figure derived for women or minorities, as appropriate, for that job group.” (41 CFR §60-2.16)

### **Technical Definitions**

Statistical Significance: The probability  $p$  is the probability of observing a particular deviation (or one more extreme) of an observed value from a hypothesized or expected value. If the calculated probability  $p$  value is smaller than 5%, the deviation of the observed value from the expected value is considered to be statistically significant.

Exact Binomial Model: The binomial distribution can be used as a model for the probability of selecting  $X$  instances of a particular kind out of  $n$  possible cases, when the probability of selecting that particular kind of case is  $p$  overall. In affirmative action calculations,  $n$  is the total number of people selected,  $X$  is the number of people of one subgroup selected and  $p$  is their availability for selection overall.

Number of Standard Deviations: The number of standard deviations between an observed value and an expected value indicates the size of the discrepancy, independent of the particular distribution. In a normal distribution, two standard deviations represent a large enough discrepancy to be statistically significant.



**Table 2: Utilization Analysis for Faculty and Staff by Job Group**

Rank Faculty Campus	Actual Current Workforce				Available Workforce		Underutilization*		Placement Goals	
	Female		Minority		Female Percentage	Minority Percentage	Female	Minority	Female	Minority
	Employees		Employees	Percentage						
<b>Total</b>	<b>Employees</b>		<b>Employees</b>	<b>Percentage</b>						
178	46	22	12.4%	40.6%	12.9%	Female	40.6%		40.6%	
170	75	33	19.4%	50.6%	13.3%	Female	50.6%			
186	30	20	16.1%	29.3%	15.7%	Female	29.3%	Minority	29.3%	15.7%
30	8	5	16.7%	19.2%	12.8%					
<b>Pratt School of Engineering</b>										
31	6	7	19.4%	23.9%	25.2%					
20	1	3	5.0%	11.5%	30.6%					
25	3	7	12.0%	9.7%	25.5%					
30	5	4	16.7%	7.2%	24.5%			Minority		23.7%
37	10	4	27.0%	37.7%	23.7%					
<b>Nicholas School of the Environment<sup>Min</sup></b>										
11	2	0	18.2%	37.7%	23.7%					
91	24	9	26.4%	30.0%	17.6%			Minority		17.6%
37	8	4	21.6%	32.5%	14.0%					
<b>Marine Lab</b>										
<b>Fuqua School of Business<sup>Min</sup></b>										
131	26	22	19.8%	44.9%	21.6%	Female	44.9%		44.9%	
329	65	38	19.8%	18.9%	15.4%			Minority		15.4%
799	229	87	28.7%	27.3%	15.7%			Minority		15.7%
30	25	2	83.3%	96.1%	10.8%					
<b>Medical School</b>										
<b>Basic Sciences<sup>F</sup></b>										
<b>Clinical Sci-Surgery<sup>Min**</sup></b>										
<b>Clinical Sci-Medicine<sup>Min**</sup></b>										
<b>School of Nursing</b>										

**F Underutilization of Females**

**Min Underutilization of Minorities**

\* Underutilization means that utilization of the group in the current workforce diverges from its availability to a statistically significant (two standard deviations) degree.  
 \*\* In Table 1A, Surgery and Medicine are combined under Clinical Science.



**Table 2: Utilization Analysis for Faculty and Staff by Job Group**

	Actual Current Workforce					Available Workforce		Underutilization*		Placement Goals	
	Total	Female Employees	Minority Employees	Female Percentage	Minority Percentage	Female Percentage	Minority Percentage	Female	Minority	Female	Minority
<b>Staff</b>											
<b>Professional and Administrative</b>											
11 Officials & Managers <sup>Min</sup>	746	381	80	51.1%	10.7%	50.0%	17.2%		Minority		17.2%
31 Staff Position at level 14 & above	420	219	49	52.1%	11.7%	55.4%	13.5%				
32 Staff Position at level 11	888	663	107	74.7%	12.0%	70.6%	14.2%				
33 Staff Positions at level 12	1,046	724	176	69.2%	16.8%	65.0%	18.5%				
34 Staff Position at level 13	805	532	151	66.1%	18.8%	60.3%	18.1%				
35 Staff Position at level 10 & below	764	558	150	73.0%	19.6%	65.7%	15.7%				
36 Research Associates	1,113	479	339	43.0%	30.5%	37.0%	15.4%				
37 Professional Librarians	105	73	10	69.5%	9.5%	64.2%	11.7%				
38 Staff Nurse, level 10	1,668	1,497	365	89.7%	21.9%	89.5%	16.7%				
39 Registered Nurse, level 11	71	66	7	93.0%	9.9%	66.4%	11.7%				
<b>Clerical</b>											
41 Pay level 0 & 1-4	399	268	247	67.2%	61.9%	70.1%	45.0%				
42 Pay level 5	542	469	358	86.5%	66.1%	79.3%	42.6%				
43 Pay level 6	1,094	991	451	90.6%	41.2%	80.7%	37.5%				
44 Pay level 7 & above	1,527	1,402	555	91.8%	36.3%	77.0%	35.5%				
<b>Technical/Paraprofessional</b>											
51 Pay level 0 & 2-6	940	727	566	77.3%	60.2%	68.6%	51.0%				
52 Pay level 7	866	682	309	78.8%	35.7%	64.2%	38.5%				
53 Pay level 8 & above <sup>Min</sup>	1,731	1,139	430	65.8%	24.8%	57.9%	33.3%		Minority		33.3%
<b>Skilled Crafts</b>											
61 Bargaining Unit, Pay level 1-6	19	0	7	0.0%	36.8%	3.4%	20.9%				
62 Bargaining Unit, Pay level 7-10	98	1	15	1.0%	15.3%	4.5%	10.6%				
63 Non-Union, Pay level 0 & 1-7 <sup>F,Min</sup>	58	0	2	0.0%	3.4%	7.4%	26.9%	Female	Minority	7.4%	26.9%
64 Non-Union, Pay level 8 & 9 <sup>F,Min</sup>	90	0	7	0.0%	7.8%	9.2%	22.2%	Female	Minority	9.2%	22.2%
65 Non-Union, Pay level 10 & above <sup>F</sup>	71	0	4	0.0%	5.6%	4.6%	10.7%	Female		4.6%	
<b>Service</b>											
71 Bargaining Unit, Pay level 1	532	372	507	69.9%	95.3%	69.7%	76.2%				
72 Bargaining Unit, Pay level 2-6 <sup>F</sup>	482	192	447	39.8%	92.7%	47.5%	79.5%	Female		47.5%	
73 Non-Union, Pay level 2	89	49	69	55.1%	77.5%	56.7%	59.5%				
74 Non-Union, Pay level 3 and 4	371	185	282	49.9%	76.0%	49.5%	63.3%				
75 Non-Union, Pay level 0 & 5-13	343	162	248	47.2%	72.3%	44.8%	56.2%				
<b>F Underutilization of Females</b>											
<b>Min Underutilization of Minorities</b>											

\* Underutilization means that utilization of the group in the current workforce diverges from its availability to a statistically significant (two standard deviations) degree.









### **Section III: Underutilization and Corrective Action**

This section identifies areas of underutilization of women and/or minorities which require special attention. It provides an analysis of the shortcomings in each of three major employment categories - faculty, exempt staff and non-exempt staff – and examines contributing factors and trends. This section also describes corrective actions being pursued by the University to increase progress towards employment goals. Additionally, Section IV provides information about specific steps being taken to address these problem areas through monitoring and reporting systems.

#### **Faculty**

##### *Overview*

Underutilization of women and minority faculty remains a problem in several disciplines. Women are underutilized in social sciences, natural sciences, and the medical basic sciences. Minorities are underutilized in natural sciences, environmental sciences, business, and basic and clinical sciences.

##### *Contributing Factors*

Two major factors contribute to the continuing underutilization of faculty in some disciplines: limited hiring opportunities, which make it difficult to significantly affect the overall composition of a department, and a discrepancy between the availability figures calculated for this AAP and the actual composition of applicant pools for faculty positions.

Duke has experienced declining rates of tenure-track hiring over the past five years, a trend which seems likely to continue. In 1999, the total number of faculty in all groups has remained constant, with the exception of the clinical sciences faculty, which experienced a slight increase in surgery and a decline in medicine. In 2000, total campus faculty declined slightly while total faculty in the school of medicine increased slightly. When there are limited hiring opportunities within a department that shows underutilization, that department cannot significantly change its representation of women and minorities. It should be noted that most departments which currently show underutilization actually hired minorities and women in 2000 at or above their availability rates as published in this AAP; however, the numbers of hires were small enough that this had little effect on the departments' overall utilization rates.

Despite efforts to broaden applicant pools and actively recruit minority and women candidates, academic departments often note that they have difficulty finding qualified female and minority candidates in certain disciplines or subdisciplines. Although minority and female faculty availability has increased nationally in the past five years, the pool from which Duke or other similar universities may reasonably recruit may not have expanded as significantly in





reality. Generally, availability figures predominantly reflect changes in the availability of persons qualified for junior faculty positions. However, not all minorities who receive the requisite degrees pursue academic employment. Additionally, minority faculty continue to be strongly represented at and recruited to institutions which have historically had higher numbers of minority faculty members. This phenomenon depletes the pool of available minority candidates at schools like Duke.

### *Corrective Action*

In January 1994, the Academic Council along with the President and the Provost adopted goals set forth in *A Strategic Plan for Black Faculty Development*, a report by the Committee on Black Faculty. One of the central elements of the *Strategic Plan* was a goal to double the size of the Black faculty at Duke over the following decade.

Some progress has been made towards this goal. Since 1993, Duke has increased Black faculty by 72% in Arts and Sciences. Nursing, engineering, business, divinity and law have all made small improvements, adding one to three new Black faculty members in each school. In the School of Medicine, the number of total Black faculty has increased by 60% since 1993. Greater gains in all areas have been made in non-tenure track regular rank faculty than in tenure track faculty.

The *Strategic Plan* recommended a number of steps which continue to be implemented in the effort to increase recruitment of Black faculty. These recommendations are:

- Maintaining the committee oversight structure but retaining leadership in the Provost's office
- Strengthening the requirement for annual departmental and school reporting on Black faculty hiring by including this as a marker for external and internal evaluation and strengthening disincentives for failure to comply
- Reestablishing and strengthening relationships with historically Black colleges and universities for the purpose of recruiting graduate students and faculty
- Building Duke's Black graduate student population in science and engineering
- Making sure that Black faculty and students have their own "safe spaces" and carefully monitoring the University service demands on Black faculty
- Taking a campus-wide approach to progress when recruiting Black faculty
- Tracking Duke's Ph.D. students after graduation with an eye to recruiting them as faculty in the future
- Courting visiting faculty more proactively with an eye towards faculty recruitment
- Raising expectations for departmental monitoring of junior faculty

More information about the Black Faculty Initiative can be found in Appendix E.

Additionally, in 1996 the Medical Center implemented a Diversity Policy to enhance its efforts to recruit and retain women and minority faculty in the clinical sciences area. This



initiative also emphasizes professional development of in-house junior faculty. See Appendix E for more information on the Medical Center Diversity Policy.

Schools and departments throughout the University continue to make special efforts to reach minority and female candidates through focused recruiting. These efforts include advertising positions in journals targeted toward minority or female readership.

## **Exempt Staff**

### *Overview*

Exempt staff includes all non-faculty professional and administrative staff at Duke. This category of employees does not currently show any underutilization for women. There is underutilization of minorities in Job Group 11 (Officials and Managers).

### Job Group 11 - Officials and Managers

The Census occupations in Job Group 11 are primarily management positions in clinical and administrative units. The majority of positions in these categories are at senior management levels in academic and non-academic areas and are spread across campus, the medical center and the health system.

Duke currently has 746 employees in this category, with 80 minority employees; last year, there were 739 total employees and 74 minority employees. Thus, a net increase of seven total employees resulted in a net increase of 6 minority employees. Nevertheless, the University is working to overcome more than a decade of deficits in this area. Achievement of employment goals will take several more years even if increases in minority hiring continue at the present rate.

### *Corrective Action*

Monthly positions within each of these job groups are reviewed to identify specific jobs where underutilization of women and minorities exists. The selected positions are then closely monitored for both internal and external entrants into these positions. Hiring managers are required to offer justification for their selection decisions and to submit applicant flow data to the Office for Equal Opportunity and Affirmative Action Programs (under the Vice President for Institutional Equity). Additionally, the Recruitment Office has undertaken a major initiative to identify and seek out qualified women and minority applicants.

The Director of Recruitment and the Director of Equal Opportunity and Affirmative Action Programs closely monitor hiring in job groups identified as problem areas. This monitoring consists of review of recruitment efforts and regular audits. Beginning in January 1994, staff positions filled at pay level 98 (the highest level in the hierarchy) have been monitored through informal review procedures. This effort was strengthened this year by including pay level 98 positions among positions that are subject to employment audit. (These positions include vice-presidents, directors, deans and other senior management positions across the institution. Women and minorities, especially Black males, are significantly underutilized





among this group.) Finally, the Employment Office and the Office for Institutional Equity are developing a structure which engages representatives from hiring units in order to improve accountability and develop more collaborative efforts to achieve employment goals set forth in the Plan. The Equal Employment Opportunity audit process is described in detail in Section IV of this Plan.

## **Non-Exempt Staff**

### *Overview*

The majority of job groups in this large category of employees do not reflect underutilization of women or minorities. Underutilization is found in traditionally male positions and in some positions requiring skilled labor. Women are underutilized in job groups 63 (Skilled Crafts, job levels 1-7), 64 (Skilled Crafts, job levels 8-9), 65 (Skilled Crafts, job levels 10+) and 72 (Service, job levels 2-6). Minorities are underutilized in job groups 53 (Technical/Paraprofessional), 63 and 64.

### Job Group 53 - Technical/Paraprofessional

Job group 53 consists primarily of technical and paraprofessional positions at job levels 8 and above. Minority underutilization in this area is concentrated in technical jobs in the hospital, in informational technology, and in research labs.

### Job Groups 63, 64 & 65 - Skilled Crafts

Duke continues to experience an underutilization of women in the skilled craft job groups 63, 64 and 65 and of minorities in job groups 63 and 64. These three job groups account for only 219 employees, but have contributed to a chronic underutilization of women and minorities for the past several years. The total skilled craft workforce has not increased significantly since 1995 and has actually decreased by 18 employees since last year, thereby providing very few hiring opportunities. Because of the static nature of the workforce in these areas, Duke's utilization rates have not changed significantly since 1999. However, labor market availability of women and minorities has increased slightly, thus exacerbating the problem of underutilization.

### Job Group 72 - Service

Women continue to be underutilized in job group 72. The positions in this job group fall under the bargaining unit contract and include the male-dominated job classifications of floor finisher and utility worker. Laundry attendants, grounds and housekeeping staff, food service assistants, and traffic controllers are also included in this job group. There are currently 482 employees in this job group, a 5% increase since last year. The number of women in the job group increased from 180 to 192, a 7% increase. The size of the workforce in this group has not increased significantly over the years and, coupled with low turnover among employees, resulted in few hiring opportunities.

In summary, although there was some improvement over the last year, underutilization of minorities remains a problem for job groups 53, 63 and 64. Underutilization of minorities in





these job groups is largely a function of a low hiring rates and increasing labor market availabilities.

### *Corrective Action*

Each job group is analyzed to determine which positions are to be included among the positions subject to review. The review process is described in detail in Section IV. A list of exempt and non-exempt job classifications subject to the review process is also provided in this section.

For Skilled Crafts positions, the Department of Facilities and Management closely monitors openings in each of these job groups. With the support of unit directors, a system of priority hiring has been created. Additionally, efforts are being made to develop and implement community outreach programs to attract qualified female and minority candidates to traditionally male-dominated careers. Managers in these areas are asked to be extremely sensitive to underutilization and to make special efforts to recruit women and minority candidates whenever a position does become open.

More information on Facilities Management's recruitment efforts and on Human Resources programs designed to provide training for current employees to prepare them for jobs such as the ones mentioned above can be found in Appendix E.

In fall of 1999, the Duke University Health System launched a Work Culture Survey to articulate the values that make DUHS a rewarding place to work and to assess the success of DUHS in embodying those values. Seven Value Propositions were developed through focus groups and mini-surveys of employees at all facilities and job levels. All employees were then surveyed to find out how successful they felt the Health System was in fulfilling those values. In November, 2000, key findings from the survey were published and an action plan was developed to address areas of need. One of the main areas where action will be focused is in developing and publicizing more and better opportunities for development for DUHS staff, which will increase employee mobility.







## **Section IV: Monitoring and Reporting Systems**

The University maintains a variety of monitoring systems for the recruitment of faculty, professional and administrative staff, and support staff. The Office of Human Resources and the Director of Equal Opportunity and Affirmative Action (EO/AA) programs are jointly responsible for monitoring and auditing functions. In all cases, the process described is supported by computer records and, in the case of faculty appointments, the self-audit records are checked against the Trustees' lists of faculty personnel actions to ensure that a complete record exists. We are currently in the process of enhancing the monitoring and reporting infrastructure to guarantee accountability. In addition, the reporting and monitoring systems:

1. Maintain accurate records of all applicants, hires, bidders, internal selections (promotion, demotion or transfer) and terminations by gender and race;
2. Review all selection, promotion and training procedures to ensure they are non-discriminatory; and
3. Monitor progress toward established goals by providing feedback to selecting officials on the numbers of opportunities and the percentage of selections of minorities and women in job groups and by comparing selection rates to the established goals.

### **Faculty Appointments**

When faculty recruitment is authorized, the Dean sends a copy of the authorization form to a number of people who have an interest in recruitment, including the EO/AA Director, who then contacts the chair of the recruiting department advising him or her of the affirmative action goals and the availability of women and minorities in that discipline. Additionally, recruiting departments in Arts and Sciences use a Self-Declaration Form to collate statistics on applicant race and gender. This form is returned to the Dean's Office, which then works with each department to monitor the applicant pools. In all areas where underutilization has been identified, the recruiting process of a department or professional school is subject to review by the Dean or Provost prior to the offering of the position.

Recruitment results are recorded by the recruiting department for all faculty appointments through the use of an EEO Faculty Self-Audit form which records recruiting sources, applicant pools, and screening steps, as well as the name, academic rank, race and gender of the appointee.

Procedures for faculty appointments, re-appointments, and promotions in Arts and Sciences are detailed in the Chair's Handbook. The process for initiation of searches and of reviews is also outlined in the Handbook. The Faculty Handbook describes these procedures for all faculty.

### **Staff Appointments**

Information on all staff hires, internal selections, and terminations is furnished quarterly to the EO/AA Director. This information is analyzed annually for any disparate effects. Hiring





managers are required to maintain applicant flow information on all hiring decisions, and this information is also analyzed annually to monitor for adverse impact.

In addition to the above tracking efforts, which apply to all personnel decisions, a more rigorous review is conducted for staff positions which have been placed under review because of under-utilization in the job group. All staff classifications are reviewed to determine whether or not they fulfill the following criteria:

1. There are 10 or more employees in the classification;
2. They are in a job group for which a goal is set in the Affirmative Action Plan;
3. The black and/or female representation of the classification is less than the 1990 Census availability; and
4. Addition of more than one person would be necessary to achieve Census parity.

Exceptions to these criteria have been made in certain areas. Within job group 11, all positions in pay levels 16, 17, 18, 19, and 98 have been placed under review. These levels represent upper management positions in which there are rarely more than one or two employees. It would be impossible for the review system to address the persistent underutilization issues in upper management without placing these positions under review. In a similar vein, job groups 63, 64, and 65 all show underutilization, but contain many positions with ten or fewer employees. Since it is clear that there is underutilization at the job group level which cannot be adequately addressed by reviewing only positions with more than ten employees, these classifications were placed under review.

A list of job classifications under review can be found in Table 4.

Staff positions which have been placed under review as described above are subject to a review process. This process consists of three steps:

1. Completion of a recruitment plan by the hiring department, guided by the Duke University hiring and selection procedures;
2. Completion of an EEO Staff Self-Audit Form for each filled position, which includes detailed information on the applicant pool for the position, efforts to recruit minority and/or women candidates, and reasons for the selection made; and
3. Review by the Office of Institutional Equity, which compiles the Self-Audit forms and analyzes them annually.

Based on the 2001 review, lists of exempt and non-exempt job classifications subject to review for 2001 are presented in Table 4.



**Table 4: Job Classifications under Review for 2001**

**Exempt Positions**

<b>Job Group</b>	<b>Position Code</b>	<b>Job Titles</b>
<b>11 Officials and Managers (Pay levels 14 and above)</b>	1493	Administrative Manager
	2001	Unclassified
	2137	Nurse Manager
	2196	Strategic Services Associate Sr.
	2417	Dir., Information Technology
	2418	Senior Manager IT
	2548	Dir, Decision Support, DUHS
	<i>All positions classified at levels 16, 17, 18, 19 and 98 are also under review</i>	

**Non-Exempt Positions**

<b>Job Group</b>	<b>Position Code</b>	<b>Job Title</b>
<b>53 Technical/ Paraprofessional (Pay levels 8 and above)</b>	52	Clinical Trials Assistant II
	70	Clinical Trials Specialist
	83	Staff Specialist
	144	Computer Software Specialist
	245	Cardiac Cath. Technician II
	258	Data Technician, Sr.
	263	Respiratory Care Practitioner
	281	Editorial Assistant, Sr.
	294	Electronics Technician, Sr.
	414	Library Assistant, Sr.
	460	Medical Technician Sr.
	474	Nuclear Medicine Technician
	502	Police Officer
	568	Respiratory Care Practitioner II
	569	Respiratory Therapy Supervisor
	576	Information Services Specialist
	587	Medical Escort/Interpreter
	660	Specialist, IT
	691	Research Specialist
	696	Clinical Data Assistant III
	713	Radiology Tech. Special Procedures
	715	Radiologic Tech. Supervisor
	737	MR Technologist
	744	CT Technologist
	930	Library Associate
	987	Computer Technician III
	995	Ultrasound Technician



**Table 4: Job Classifications under Review for 2001**

<b>Job Group</b>	<b>Position Code</b>	<b>Job Titles</b>
<b>63 Skilled Crafts Non-Bargaining Unit (Pay levels 1-7)</b>	186	Carpenter
	187	Carpenter, Sr.
	275	Optical Repair Technician
	282	Electrician
	424	Zone Maintenance Mechanic
	434	Mechanic
	486	Painter
	487	Painter, Senior
	531	Plumber
	559	HVAC Mechanic
	786	Carpet/Tile Mechanic
<b>64 Skilled Crafts Non-Bargaining Unit (Pay levels 8-9)</b>	997	PRT Technician
	011	Central Control Operations, Trainee
	095	Maintenance Specialist, MC
	155	Asst Supt, Golf Course Maintenance
	183	Instrument Maker, Sr.
	226	Comm. & Electronics Tech II
	432	Maintenance Mechanic
	510	Central Control Operator, Sr.
	529	Plasterer-Mason, Sr.
	594	Sheet Metal Mechanic, Senior
	609	HVAC Mechanic, Sr.
	629	Supervisor, Office Machines Repair
	742	Utility Locator
	751	Insulation Mechanic, MC
	753	HVAC Mechanic (Cert/Lic.)
	754	Plumber (Cert/Lic.)
	755	Electrician (Cert/Lic.)
	858	Materials Expeditor
	906	Unclassified
	947	Central Control Operator
<b>65 Skilled Crafts Non-Bargaining Unit (Pay levels 10 and above)</b>	006	PRT Specialist
	022	PRT Shift Supervisor
	050	CCIF Maintenance Mechanic
	092	Supervisor, Accelerator Maintenance
	101	Key Shop Coordinator
	109	Cryogenic Refrigeration Supervisor
	126	Supervisor, Elevator Maintenance/Repair
	147	Utilities & Maintenance, Supervisor
	188	Carpenter Foreman





**Table 4: Job Classifications under Review for 2001**

<b>Job Group</b>	<b>Position Code</b>	<b>Job Titles</b>
<b>65 (cont.)</b>	227	Communications & Electronics Supervisor
	271	Gen. Maintenance Supervisor
	278	Steam Plant Coordinator
	284	Electrician, Supervisor
	299	Sheet Metal Foreman
	314	Supervisor, Structural Trades
	328	CCIF Operations Coordinator
	352	PRT Supervisor
	367	Cryogenic Refrigeration Spec
	371	Instrument Shop Foreman
	374	Elevator Mechanic
	382	Elevator Mechanic, Sr.
	391	HVAC Coordinator
	405	Controls Technician Sr.
	421	Locksmith, Supervisor
	488	Painter Foreman
	533	Plumbing & Steam-fitting Foreman
	548	Construction & Maintenance, Supervisor
	558	HVAC Foreman
	598	High Voltage Electrician Specialist
	637	Steam Plant Supervisor
	655	High Voltage Electrician Spec.
	672	PRT Technician, Senior
	682	Electrician Foreman
	846	Communications & Electronics Specialist
	860	Supervisor, Mech. Engr. Tech. Services
	895	Plumbing & Steam-fitting, Supervisor
	899	Maintenance Foreman
	969	Supervisor, General Const. & Maintenance
	985	Supervisor, Elec. Const.& Maintenance
<b>72 Service Bargaining unit (Pay levels 2 – 6)</b>	133	Animal Caretaker
	325	Floor Finisher
	463	Grounds Equipment Operator, Sr.
	673	Utility Worker
	770	Food Service Worker I







## Appendix A: Description of Job Groups

The Office of Federal Contract Compliance Programs requires that the workforce of the federal contractor (Duke University) be categorized into job groups of similar job characteristics (41 CFR §60-2.11). Consequently Duke has established 34 job groups comprised of job levels as described in the Duke University Job Classifications and Pay Ranges guide<sup>1</sup>.

### *Faculty*

#### **Faculty (EEO Category 02)**

The faculty is divided into seven groups:

##### Campus Faculty

- Social Sciences
- Humanities
- Natural Sciences
- Professional Schools (Non-medical)

##### Medical School Faculty

- Basic Sciences
- Clinical Sciences (includes surgical and medical sciences)<sup>2</sup>

### *Exempt Job Groups*

#### **Executives and Administrators (EEO Category 01)**

##### 11 Officials and Managers

Staff positions at job level 14 and above, except for “assistants to”; certain professional occupations such as pharmacist; faculty serving in central administration; and unclassified positions in job code 2001.

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<sup>1</sup> Some pay levels in the guide may not be included in this Appendix because when the pay level assigned to a position is not competitive at market rates, a temporary level may be assigned to enable Duke to match market wages for these positions.

<sup>2</sup> The division of clinical sciences attempts to break up a group that is quite large and which contains departments of widely varying size. The division generally follows NIH classification in making a distinction between “Surgical” and “Medical.” This distinction is recognized in determining availability for purposes of utilization analysis.





### **Non-faculty Professionals (EEO Category 03)**

- 31     Non-faculty Professional I  
Staff positions at job levels 14 and above, not including officials and managers
- 32     Non-faculty Professional II  
Staff positions at job levels 11 through 13, primarily in health care areas;  
includes unclassified staff positions in position codes 2004-2006.
- 33     Non-faculty Professional III  
Staff positions at job levels 11 through 13; includes administrative and  
managerial positions in academic and other areas.
- 34     Non-faculty Professional IV  
Staff positions at job levels 11 through 13 in primarily technical fields,  
including health technologies.
- 35     Non-faculty Professional V  
Staff positions at job levels 10 and below.
- 36     Non-faculty Professional VI  
Research Associates.
- 37     Non-faculty Professional VII  
Professional Librarians.

### ***Non-Exempt Job Groups***

#### **Non-exempt Professional - Registered Nurses (EEO Category 03)**

- 38     Registered Nurses - Level 10
- 39     Other Registered Nurses - Level 11

#### **Clerical (EEO Category 04)**

- 41     Pay levels 00 and 01-04; unclassified positions in code 0904
- 42     Pay level 05
- 43     Pay levels 06 and 5x
- 44     Pay levels 07 and above



## **Appendix A**

### **Description of Job Groups**

#### **Technical/Paraprofessional (EEO Category 05)**

- 51 Pay levels 00 and 02-06
- 52 Pay levels 07 and 5x; Unclassified positions in code 0905
- 53 Pay levels 08 and above

#### **Skilled Crafts - Bargaining Union (EEO Category 06)**

- 61 Pay levels 01-06
- 62 Pay levels 07-10

#### **Skilled Crafts- Non-Bargaining Union (EEO Category 06)**

- 63 Pay levels 00 and 01-07
- 64 Pay levels 08 and 09; unclassified positions in code 0906
- 65 Pay levels 10 and above

#### **Service - Bargaining Union (EEO Category 07)**

- 71 Pay level 01
- 72 Pay levels 02-06

#### **Service - Non-Bargaining Union (EEO Category 07)**

- 73 Pay level 02
- 74 Pay levels 03 and 04
- 75 Pay levels 05-13; unclassified positions in code 0907



## Appendix B: Arts and Sciences Programs With Staff of Ten or Fewer

Program	Total	Females	Minorities*
Academic Skills Center	5	5	1
African/African-American Studies	3	3	3
Art & Art History	5	3	0
Asian/African Land & Lit	1	1	0
Bio-Anthropology	2	2	0
Biology Majors	3	3	0
Center for Jewish Life	5	3	1
Classical Studies	4	3	0
Comp Area Studies	1	1	1
Computer Lab	4	0	0
Center for International Development Research	4	3	1
Cultural Anthropology	3	3	1
Dance Program	2	2	1
Drama	3	2	0
Education	3	2	1
Film & Video	4	2	1
First Year Writing	0	0	0
Germanic Lang	2	2	1
History	10	9	2
Institute of the Arts	1	1	0
Institute for Statistic & Decision Sciences	6	4	1
Kenan Ethics Program	6	6	1
Language Lab	2	1	0
Markets & Management	1	1	0
Philosophy	3	2	1
Physics Instrument Shop	3	0	0
Program In Literature	8	8	2
Psychology Clinic	1	1	0
Religion	6	5	0
Romance Studies	4	4	0
ROTC	7	4	4
Slavic Lang	3	2	0
Sociology	9	5	1
String School	9	7	1
Study Abroad	10	8	2
Teaching Ctr	5	3	1
Women's Studies	5	5	1
Arts & Sciences -- Other Programs	44	27	13
<b>Total</b>	<b>197</b>	<b>116</b>	<b>29</b>





## Appendix C: Goal Comparisons for 1995 - 2000

Duke University's 2001 placement goals can be found in Section II of this AAP. The following goal calculations follow the methods for calculating goals used in Affirmative Action Plans in previous years. These employment goals are included only for comparison purposes with previous years' Plans for faculty departments and staff job groups which show underutilization. Please see the Introduction and Section II for a discussion of the difference between employment goals and placement goals.

### Section 1: Campus Faculty

Social Sciences	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	172	44	17	39.6	11.2	62	19	18	2
1998	176	51	21	40.6	12.9	71	23	20	2
1999	176	46	21	40.6	12.9	71	23	25	2
2000	178	46	22	40.6	12.9	72	23	26	1

Natural Sciences	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	192	33	20	26.9	11.1	45	21	12	1
1997	199	32	20	27.8	15.0	45	27	13	7
1998	199	39	17	28.3	17.0	53	26	14	9
1999	191	39	21	28.9	12.9	51	25	14	4
2000	186	30	20	29.3	15.7	49	29	19	9

School of the Environment	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	27	8	3	36.3	24.1	10	7	2	4
1999	38	10	4	37.7	23.7	14	8	4	4
2000	37	10	4	37.7	23.7	14	6	4	2



Fuqua School of Business	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	91	20	8	28.9	17.3	26	16	6	8
1999	98	24	11	30.0	17.6	29	17	5	6
2000	91	24	9	30.0	17.6	27	16	3	7

Law School	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	35	8	4	33.0	13.4	10	5	2	1
1999	35	8	4	33.0	13.4	10	5	2	1
2000	37	8	4	32.5	14.0	10	5	2	1

## Section 2: Medical Faculty

Basic Sciences	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	140	32	18	41.7	13.1	48	18	16	0
1997	133	31	18	43.2	18.0	48	24	17	6
1998	131	31	21	43.9	22.0	43	27	12	6
1999	133	29	21	44.9	21.6	41	27	12	6
2000	131	26	22	44.9	21.6	41	28	15	6

Clinical Science - Surgery	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	258	46	15	17.1	15.0	46	27	0	12
1997	279	50	25	16.8	14.4	50	37	0	12
1998	299	44	28	17.2	14.8	51	42	7	14
1999	330	55	37	18.4	15.1	61	50	6	13
2000	329	65	38	18.9	15.4	62	51	6	13



Clinical Science - Medicine	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	778	215	66	24.6	14.2	215	103	0	37
1997	766	217	72	24.8	14.3	217	109	0	37
1998	742	205	67	25.6	14.8	190	95	-15	28
1999	785	222	83	26.6	15.0	209	111	-13	28
2000	799	229	87	27.3	15.7	218	117	-13	30

### Section 3: Exempt Staff

Job Group 11: Officials & Managers	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	553	252	39	50.1	11.2	267	42	15	3
1997	577	267	44	50.1	11.2	282	47	15	3
1998	611	292	53	52.2	15.9	319	64	27	11
1999	739	364	74	52.6	17.7	389	86	25	12
2000	746	381	80	50.0	17.2	373	92	-8	12

### Section 3: Non-Exempt Staff

Job Group 53: Technical	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	1453	952	312	58.4	30.3	952	354	0	42
1997	1513	1010	346	58.4	30.3	1010	388	0	42
1998	1625	1073	369	59.5	32.4	967	437	-106	68
1999	1723	1113	413	60.2	32.0	1037	480	0	67
2000	1731	1139	430	57.9	33.3	1002	500	0	70





Job Group 63: Skilled Crafts	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	57	0	3	6.4	30.5	0	4	0	1
1997	56	0	3	6.4	30.5	0	4	0	1
1998	60	0	3	7.9	26.0	0	4	0	1
1999	59	0	2	7.9	26.0	0	3	0	1
2000	58	0	2	7.4	26.9	0	3	0	1

Job Group 64: Skilled Crafts	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	95	0	8	8.6	29.2	0	9	0	1
1997	99	0	8	8.6	29.2	0	9	0	1
1998	96	0	7	9.9	27.4	1	9	1	2
1999	97	0	7	9.9	21.7	1	8	1	1
2000	90	0	7	9.2	22.2	1	8	1	1

Job Group 65: Skilled Crafts	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
1998	82	0	4	6.2	9.2	0	4	0	0
1999	81	0	4	6.2	9.2	0	4	0	0
2000	71	0	4	4.6	10.7	0	4	0	0

Job Group 71: Service	Workforce			Availability (%)		Workforce Goals		Additions to Meet Goals for Following Year	
	Total	Women	Minority	Women	Minority	Women	Minority	Women	Minority
Baseline 10/95	446	166	408	42.3	83.0	178	408	12	0
1997	440	171	406	42.3	83.0	183	406	12	0
1998	447	174	416	47.0	81.9	198	366	24	-50
1999	457	180	430	50.9	80.1	206	366	26	0
2000	482	192	447	47.5	79.5	217	383	25	0

#### Table Notes

1. Prior to 1998, data for professional schools (including Nursing) were aggregated.
2. Zeros in the *Additions to Meet Goals* column may indicate overutilization.



## **Appendix D: Sex Discrimination Guidelines and Harassment Policy and Procedures**

The Office of Contract Compliance Programs issued definitive regulations in 1980 covering gender discrimination. Duke University complies with the Sex Discrimination Guidelines (41 CFR 60-20) as follows:

### *Recruitment and Advertisement*

Duke University has no jobs for which a bona fide occupational qualification has been established. Therefore, all jobs at Duke are open to men and women without regard to gender or marital status.

### *Job policies and practices*

Duke makes no distinction based upon gender or marital status in employment opportunities, wages, hours, or other conditions of employment, including fringe benefits.

### *Seniority systems*

The University has no seniority lines or lists maintained by gender.

### *Discriminatory wages and placements*

Duke's wage schedules are not related to or based on the gender of employees, and the University does not effect discriminatory placement (i.e., in "men's jobs" or "women's jobs").

### *Affirmative Action*

Both genders have equal access to training programs at Duke; women are encouraged to apply for jobs from which they have been previously excluded or in which they are underutilized.

### *Pregnancy, childbirth, and related medical conditions*

Employees or applicants for employment are not denied employment because of pregnancy, childbirth, or related medical conditions. Maternity leave policies have been established and are published in the Faculty Handbook, the Staff Benefits Guide, and the Personnel Policy Manual.

## **University Harassment Policy and Procedures for Resolution of Claims of Harassment**

Harassment of any kind is not acceptable at Duke University. It is inconsistent with the University's commitments to excellence and to respect for all individuals. Duke University is also committed to the free and vigorous discussion of ideas and issues, which the University believes will be protected by this policy. This policy is intended to complement Duke University's Equal Opportunity Policy (Duke University Personnel Policy A-5).

### *Scope*

This Harassment Policy applies to all persons who are enrolled or employed at Duke University while they are on University property or are participating in a University-sponsored



activity off-campus. The Procedures for Resolution of Claims of Harassment, described below, apply to situations in which both complainant and respondent are enrolled or employed at Duke University.

Situations which involve others, including applicants for admission, or employment who believe they have been harassed by employees of Duke University, and students and employees of Duke University who believe they have been harassed by contractors or vendors serving the University, will be resolved through procedures for complaints of discrimination. Persons who believe they have experienced these situations should contact the Office of the Vice President for Institutional Equity.

### ***Policy***

- I. Duke University is committed to protecting the academic freedom and freedom of expression of all members of the University community. This policy against harassment shall be applied in a manner that protects the academic freedom and freedom of expression of all parties to a complaint. Academic freedom and freedom of expression include but are not limited to the expression of ideas, however controversial, in the classroom, residence hall, and, in keeping with different responsibilities, in workplaces elsewhere in the University community.
- II. Definition of harassment at Duke University:
  - A. Harassment is the creation of a hostile or intimidating environment, in which verbal or physical conduct, because of its severity and/or persistence, is likely to interfere significantly with an individual's work or education, or affect adversely an individual's living conditions.
  - B. Sexual coercion is a form of harassment with specific distinguishing characteristics. It consists of unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when:
    1. submission to such conduct is made, explicitly or implicitly, a term or condition of an individual's employment or education; or
    2. submission to or rejection of such conduct is used as a basis for employment or educational decisions affecting an individual.
  - C. The conduct alleged to constitute harassment under this policy should be evaluated from the perspective of a reasonable person similarly situated to the complainant and considering all the circumstances.
- III. In considering a complaint under the Duke University Harassment Policy, the following understandings shall apply:
  - A. Harassment must be distinguished from behavior which, even though unpleasant or disconcerting, is appropriate to the carrying out of certain instructional, advisory, or supervisory responsibilities.
  - B. In so far as Title VII (Equal Employment Opportunity) of the Civil Rights Act of 1964 is applicable (i.e., in complaints concerning carrying out of non-instructional





employment responsibilities), the University will use the definition of sexual harassment found in the Equal Employment Opportunity Commission (EEOC) Guidelines: “conduct of a sexual nature...when such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile, or offensive working environment.”

- C. Instructional responsibilities require appropriate latitude for pedagogical decisions concerning the topics discussed and methods used to draw students into discussion and full participation.

#### IV. The following behaviors are also prohibited by the Harassment Policy:

##### A. Reprisals

1. Against the Complainant: It is a violation of Duke’s Harassment Policy to retaliate against a complainant for filing a charge of harassment. A complaint of retaliation may be pursued using the steps followed for a complaint of harassment. When necessary, the appropriate dean or other University officer may monitor student grading or faculty/staff reappointment, tenure, promotion, merit review, or other decisions to ensure that prohibited retaliation does not occur.
2. Against the Respondent: Lodging a complaint of harassment is not proof of prohibited conduct. A complaint shall not be taken into account during reappointment, tenure, promotion, merit, or other evaluation or review until a final determination has been made that the University’s Harassment Policy has been violated.

- B. Knowingly false or malicious complaints. To file a knowingly false or malicious complaint of harassment or of retaliation is a violation of the Harassment Policy. Such conduct may be pursued using the steps followed for a complaint of harassment. A complaint under this provision shall not constitute prohibited retaliation.

- C. Intentional breaches of confidentiality. All participants in the Harassment Complaint Resolution process, including the complainant and respondent, witnesses, advisors, mediators, members of hearing panels, and officers, shall respect the confidentiality of the proceedings. Breaches of confidentiality jeopardize the conditions necessary to the workings of internal procedures for resolution of claims of harassment. Participants are authorized to discuss the case only with those persons who have a genuine need to know. A complaint alleging an intentional breach of confidentiality may be pursued using the steps followed for a complaint of harassment. Such a breach may also constitute an act of retaliation. A breach of confidentiality may void the outcome of any previously agreed-upon resolution to a complaint.

- V. Individuals who believe they have been harassed, individuals charged with harassment, and individuals with knowledge of situations in which harassment may exist should consult Duke University’s “Procedures for Resolution of Claims of Harassment.”



VI. This Harassment Policy and the Procedures for Resolution of Claims of Harassment are only part of Duke University's effort to prevent harassment in our community. In addition to spelling out steps for making and resolving complaints, the University is also committed to programs of education to raise the level of understanding concerning the nature of harassment and ways to prevent its occurrence.

**NOTE:** This Harassment Policy replaces previous statements on Sexual Harassment in Employment and Sexual Harassment of Students. Specifically it replaces Appendix W of the Faculty Handbook, Policy IX.180 and Policy IX.190 in the Duke University Policy Manual, and the statement on Sexual Harassment of Students in the various school Bulletins.

*Procedures for Resolution of Claims of Harassment*

Please see one of the following sources for the harassment claims procedures:

Institutional Equity Web page ([www.duke.edu/web/equity/](http://www.duke.edu/web/equity/))  
Faculty Handbook  
Personnel Policy Manual



## **Appendix E: Best Practices in Equal Opportunity and Affirmative Action at Duke University**

According to the Equal Employment Opportunity Commission, the following are the characteristics of a best practice:

- Complies with the law.
- Promotes equal employment opportunity and addresses one or more barriers that adversely affect equal employment opportunity.
- Manifests management commitment and accountability.
- Ensures management and employee communication.
- Produces noteworthy results.
- Does not cause or result in unfairness.

This document describes Duke University's best practices in the areas of Affirmative Action and Equal Opportunity. The programs and policies described are divided into four categories: Recruitment and Hiring, Promotion and Career Advancement, Terms and Conditions/Workplace Environment, and Other. Descriptions of the categories can be found at the beginning of each section. With some modifications, these are the categories and category descriptions used by the EEOC in its report "Best Practices of Private Sector Employers."

### **1. Recruitment and Hiring**

*The focus of "recruitment and hiring" is on affirmative recruitment programs designed to create a diverse workforce, such as internships, recruitment strategies, and education and training programs used for hiring.*

#### ***INROADS Internship***

The INROADS internship program is designed to develop and place talented minority youth in business and industry and to prepare them for corporate and community leadership. INROADS recruits outstanding college students of color and places them in multi-year summer internships. INROADS also conducts leadership training activities with its students throughout the year. At the internship site, each INROADS participant has one or more sponsors who provide help and mentorship. Duke's participation in the program began relatively recently; this summer the University had six new interns and one returning intern participating in the program. The interns worked in Duke News Service, Procurement Services, Perkins Library Business Information Systems, Treasury and Cash Management, the Office of the Provost, Auxiliary Services, and Human Resources Learning and Organization Development. Schools represented include the University of North Carolina at Greensboro, Wake Forest University, Spelman College, Duke University, North Carolina Central University, and North Carolina State University. The ultimate goal of the internship is an offer of employment from Duke. One INROADS intern has been hired as a Duke employee. She works as an Associate Technology





Coordinator in the Human Resources Learning and Organization Development office. The other INROADS interns are still completing their internships.

### ***North Carolina Central University Student Internship Programs***

The Duke Medical Center and North Carolina Central University's Career Services Center sponsor a yearly summer internship for NCCU students who are enrolled in fields of study outside the health sciences. Interns have an opportunity to gain professional skills and get exposure to various career options, while Duke has an opportunity to expand its recruitment pool for health services employees. Ten to twelve interns are enrolled in the program each summer; all are minority. Interns work approximately 30 hours a week and are paid.

### ***Summer Research Opportunities Program (SROP)***

The Summer Research Opportunities Program (SROP) began in 1996 with a grant to the Duke Medical Center from the Carnegie Foundation. The program is designed to give undergraduate women and minorities a chance to gain practical scientific research experience and develop a network with other students and medical faculty, with the goal of encouraging future pursuit of careers in the biomedical sciences or medicine. The program began with four students and currently enrolls about ten students each summer. Participants are matched with a mentor and work in a laboratory for the summer. They are provided with room and board, a travel allowance, and a stipend. As of June 2000, all but one of the former SROP students who have finished their undergraduate studies have been accepted into medical school, graduate school or an MD-PhD Program, a remarkable achievement. Institutions accepting former SROP students include Duke, UNC Chapel Hill, Medical College of South Carolina, Howard, Emory, Yale, Wesley, University of Chicago, NYU, SUNY, and Morehouse. Recently, the Mellon Foundation has provided a four-year grant to Dr. Ken Kreuzer of the Medical Center's Microbiology Center to continue this successful program.

### ***Faculty Recruitment Efforts***

#### ***Black Faculty Initiative***

The Black Faculty Initiative was first endorsed in 1988 with the charge of increasing the numbers of black faculty members in each academic unit by at least one by 1993. This goal was not achieved, and in 1993 the Academic Council's Committee on Black Faculty re-examined the charge and methods of the BFI. They determined that the goals set in 1988 had been unrealistic given the small pool of black applicants in some academic specialties. They also determined that the strategies used were not comprehensive enough to effect the necessary changes, and that monitoring efforts were not sufficient. The Committee renewed the charge of the BFI in 1993 with the goal of doubling black faculty by 2003. Strategies used in the current initiative include increasing the pool of available candidates, identifying potential candidates from industry and historically black colleges and universities for possible joint appointments, the provision of financial incentives to support recruitment (a fund was created to support the salaries of new black faculty members for the first few years of their employment), development of a critical mass of



black faculty, nurturing potential Duke Ph.D. recruits (as a departure from Duke's practice in the past of not hiring its own), and strengthening retention efforts. Since 1993, the number of black faculty members at Duke has increased from 44 to 79, which is slightly ahead of the projected goals set forth in 1993. Progress on African-American representation on the Duke faculty between 1993 and 1999 can be found in the following chart:

**Black Faculty Members by Department and Rank, 1993-1999**

	1993		1999	
	Tenure	Other	Tenure	Other
	<u>Track</u>	<u>Rank</u>	<u>Track</u>	<u>Regular Rank</u>
Arts & Sciences	15	3	21	10
Divinity	1	2	2	4
Engineering	1	0	1	1
Environment	0	0	0	0
Fuqua	1	0	2	1
Law	2	0	2	1
Medicine	16	4	21	11
Nursing	0	0	1	1
<b>Total</b>	<b>18</b>	<b>5</b>	<b>26</b>	<b>16</b>

(Other Regular Rank means faculty not on the tenure track who have voting privileges. Titles include Professor of the Practice, Research Professor, Lecturer, and Associate.)

*Other Faculty Recruitment*

Duke's faculty handbook requires that all faculty job searches include bona fide efforts to identify qualified women and under-represented minority candidates. Such efforts include advertising jobs in publications targeted toward females and minorities in the relevant field; for example, the Department of Music has advertised with the Center for Research on Black Music, the Mathematics Department has advertised with the Association for Women in Mathematics, and the Classics Department has advertised with women's classics organizations such as ANAHITA, the Women's Classical Caucus, and ClassicsLGB. Department chairs are supplied with underutilization information from the annual Affirmative Action Plan, and faculty hires are tracked through the submission of EEO forms to Institutional Equity.

The Medical Center has taken specific actions to increase the skills of its women faculty to help them progress through the academic ranks and to assume a greater degree of administration and leadership. Women faculty have been nominated and supported for a number of external training opportunities, including the AAMC Professional Development Seminars for Women Faculty, attended by eleven female faculty members, six of whom have recently been promoted, and the Hedwig van Ameringen Executive Leadership in Academic Medicine program for women, attended by two female faculty members, both already full professors. Women attending these seminars have included



the Chief of the Division of Hematology, the Director of the Molecular Pharmacology Laboratory, and the organizer of the Clinical Sciences Faculty Council. One attendee was promoted to full Professor of Medicine at Duke. Attendees have benefited from the establishment of networking relationships with faculty at other institutions, and from making mentoring connections at the highest level of academic medical leadership.

Faculty hires by race and gender for 1999 are listed in the following chart:

<b>Faculty Hires by Department, 1999</b>			
	<b><u>Total</u></b>	<b><u>Female</u></b>	<b><u>Minority</u></b>
	<b><u>Hires</u></b>	<b><u>Hires</u></b>	<b><u>Hires</u></b>
<b>Humanities</b>	7	4	3
<b>Social Sciences</b>	6	2	0
<b>Natural Sciences</b>	13	2	4
<b>Divinity School</b>	1	0	1
<b>School of Engineering</b>	13	2	3
<b>School of the Environment</b>	2	0	0
<b>Law School</b>	0	0	0
<b>School of Business</b>	7	2	2
<b>Basic Sciences - Medicine</b>	9	4	3
<b>Clinical Sciences - Medicine</b>	119	36	29
<b>School of Nursing</b>	3	1	1
<b>Total</b>	<b>180</b>	<b>53</b>	<b>46</b>

### **Facilities Management Recruitment Efforts**

Duke's Facilities Management Department has had difficulty recruiting skilled candidates, particularly skilled minority and women candidates, in recent years. To address this issue, two programs have been created in the past few years: a Joint Apprenticeship Program, and a Craftsman internship program. The Joint Apprenticeship Program recruits trader helpers for employment at FMD, with the understanding that they will participate in an intensive apprenticeship involving 144 classroom hours and 8,000 on-the-job training hours over a period of four years, towards a goal of certification in a particular craft. The program is for minorities and women with high school diplomas or G.E.D.s and some mechanical aptitude. Currently in its second year, the program now includes one electrical apprentice and three heat and air conditioning apprentices. The Craftsman internship program, also for women and minorities, involves high school students, usually seniors, who work 10-15 hours a week during the school year and full time during the summer, learning a trade. Coordinators at area high schools, including Northern High School in Durham, nominate candidates for the program. The hope is that the students will be hired by Duke when they graduate and will enter the Joint Apprenticeship Program. Of the two students who went through the program last year, however, both found employment elsewhere. Recruitment for the program will begin again in the fall.







## Facilities Management Hires/Promotions, Jan 2000 – October 2000

	<u>Total</u>	<u>Female</u>	<u>Minority</u>
Job Group 61	9	0	7
Job Group 62	5	0	2
Job Group 63	2	1	0
Job Group 72	18	1	14
Total	34	2	23

### ***Internal Affirmative Action Plans and Other Departmental Initiatives***

In addition to the University-wide Affirmative Action Plan produced by the Office for Institutional Equity, some divisions, such as Facilities Management, maintain internal affirmative action plans to track hiring, promotions, and transfers by gender and ethnicity. Departments conduct their own focused recruiting as well; the Duke Police department seeks diverse and qualified applicants by attending local job fairs, communicating with educational institutions regarding job placement opportunities, and carefully reviewing referrals from Duke's Human Resources office.

## **2. Promotion and Career Advancement**

*The focus of "promotion and career advancement" is on programs that have eliminated barriers to the advancement of women, people from diverse ethnic and racial groups, persons with disabilities, and older workers (those forty or older). Such programs as mentoring, education and training for purposes of promotion, and career enhancement initiatives are considered in this group.*

### ***Upward Mobility Program***

Duke's Upward Mobility Program has provided University and medical center employees in entry-level jobs a chance to develop skills to move into office jobs. The curriculum includes computer, language, and customer service skill development. Participants also are helped with job hunting skills. Each participant is assigned a mentor, who helps encourage him or her throughout the program and beyond. After a rigorous nine months of classes, six hours per week, plus apprenticeships, the employees are ready to seek higher level jobs at Duke. Beginning in 1996, approximately 20-25 employees a year have participated in the program. In 1998, twelve auxiliary employees, all minorities, participated in the program, and seven were promoted. Twelve hospital employees also participated, eleven of whom were promoted. In 1999, with the program winding down for redesign, five auxiliary employees participated and two were promoted.

The Upward Mobility Program is currently undergoing redesign by the Human Resources Department. HR hopes to roll out its new program in July 2001.

### ***Perkins Library Career Path Task Force***

The Perkins Library Career Path Task Force was formed in October 1998 to address the "Hire and Retain Outstanding Staff" goal of the Library's Strategic Plan for 1998-2001. The task force investigated the barriers that prevent library support staff from career



advancement within the library, and surveyed other libraries to determine their procedures for retention, promotion, and the creation of career paths. In July 1999, the task force issued a report containing recommendations for proceeding with structural changes that would facilitate career advancement among support staff. These recommendations were incorporated into the Perkins Library Systems Plan for 2000-2005.

### ***Partnership for Literacy***

For ten years, Partnership for Literacy has paired Duke students with University employees who wish to improve their reading, writing, and math skills. Individual tutoring sessions follow each employee's experiences, interests, and goals. Student and employee members of PFL teach and learn from each other in an interactive process of mutual growth. Services offered include reading, writing, math, GED preparation and testing, and basic and intermediate computer skills. Participating employees are campus or hospital service workers; participating students are volunteers or work-study students. Over forty employees currently participate in the program. Participating employees are matched with students and generally participate in the program for one to two years. Specific data are not available on participants. Some results include increased self-esteem, added life skills, and enhanced job performance. One facilities management employee learned literacy skills for the first time and gained sufficient computer skills to be promoted to a maintenance mechanic.

### ***Critical Needs Job Training***

The objective of the Critical Needs Job Training program is to meet employment needs by providing specific training to Duke employees. Positions that are difficult to fill due to a lack of skilled applicants are targeted for the program. Training for clerical and non-technical skills is generally of a short duration and requires a part-time commitment to courses. Training for technical positions generally requires a full-time commitment to an educational program. The trainee works part-time in the sponsoring department and is guaranteed a job within that department upon successful completion of the program. Participants are expected to remain at Duke for a length of time corresponding to the length of the sponsored training.

## **3. Terms and Conditions/Workplace Environment**

*The focus of "terms and conditions" is on disability and religious accommodation programs, and on sexual harassment, pay equity, insurance, employee benefits, and work-life and family-friendly policies and practices.*

### ***Duke University Diversity Awards***

The Duke University Diversity Awards were established to recognize staff or faculty members who have demonstrated, through their positive interactions with others, a respect and value for differing backgrounds and points of view within the University community. The awards are given annually to staff or faculty members who have actively and positively promoted the concept of diversity by enhancing or contributing to the overall environment of the University through improving a cross-cultural understanding.





The first diversity awards were presented in August 2000 to the Perkins Library Diversity Working Group for its effort to address diversity issues in the work culture of Perkins Library and to William Sax of the Fuqua School of Business for his work with the Minority Business Consulting Program and with a program in which Fuqua students teach entrepreneurship primarily to minority high school students (see below for descriptions of these programs).

### ***Perkins Library Diversity Working Group***

The Perkins Library Diversity Working Group grew out of a series of diversity workshops presented by and for library staff in 1998. Feedback from these workshops made it clear that there were work culture issues in Perkins that needed to be dealt with; the mission of the DWG is to “develop and implement strategies to foster a work culture where everyone feels welcomed, valued, and respected; where each individual has the opportunity to develop to his or her full potential in pursuit of the library's mission and values.” The group, composed of volunteers from the library staff along with a consultant from Duke’s Office for Institutional Equity, has sponsored campus outreach activities such as a diversity film festival in the summer and a booth at the campus’s Oktoberfest celebration, where they asked attendees for their ideas about diversity. They have also completed an extensive Workplace Assessment Survey, conducted by faculty and graduate students in the Fuqua School of Business, to assess the Perkins Library employees’ perceptions of about their workplace climate. The assessment found that people of color, support staff, and employees with more than 11 years experience in Perkins held more unfavorable views of the level of respect in the workplace and were more likely to think that input from all perspectives was not uniformly valued. These same groups felt less comfortable taking risks and proposing innovative ideas and tended to perceive less open communication. These results will be presented to library staff, and the DWG will work with staff to address the issues and concerns that arise from the study. The Perkins Library Diversity Working Group was the recipient of Duke University’s first annual Diversity Award.

### ***Duke Police Department Community Affairs Manager***

A Duke Police Department staff member serves as the primary liaison between the police department and minority communities on campus, chairing student and employee committees with representatives from minority groups whose mission it is to break down stereotypes on both sides. The Community Affairs Manager was nominated for the Duke University Diversity Award.

### ***Harassment Policy***

Duke’s current harassment policy became effective in January of 1994 and was last updated in August of 2000. It applies to all members of the University – faculty, staff, and students – and covers all forms of harassment. The policy forbids the creation of a hostile environment and prohibits sexual coercion. Persons with harassment complaints or questions about the harassment policy contact the Office for Institutional Equity’s Harassment Prevention Coordinator. If the complaint cannot be resolved through informal





resolution methods or formal mediation, the dispute is heard by a Hearing Panel appointed by the Harassment Grievance Board, a thirty-member committee made up of faculty, non-faculty staff, undergraduate students, and graduate students. A violation of the harassment policy must be established by a preponderance of evidence, with the burden of proof on the complainant. If a violation is found by the panel, either by consensus or by majority vote, the panel recommends an appropriate remedial action, which is implemented by the responsible officials. The harassment prevention coordinator also provides consultation to staff and faculty members about situations that arise in their areas of responsibility, and provides referrals to the University's Personal Assistance Service to clients with needs for counseling services or emotional support and assistance.

### ***Disability Programs***

Information on best practices in Disability Programs is included in Appendix A, "Duke University Outreach Efforts for Persons with Disabilities."

### ***Duke University Health System Compliance Program and Code of Conduct***

Duke University Health System established a Compliance Program and Code of Conduct in 1999. This Program and the Code of Conduct communicate the organization's commitment to full compliance with all laws and regulations. The Code supports a commitment to the best possible work environment. It specifically calls for compliance with EEOC laws and the provision of a harassment-free work environment. In addition, the Compliance Program established a reporting mechanism to facilitate communication between staff and management about any compliance concern. The policy includes a non-retaliation/non-retribution provision to assure that no employee is subject to any adverse action for bringing forward any compliance concern.

### ***Bi-Yearly Faculty Compensation Study***

Every two years, the Duke University Provost's Office, in conjunction with the Faculty Compensation Committee, conducts a salary equity study. This study is a voluntary attempt to monitor compensation practices at Duke for assurance that compensation decisions are being made equitably. The study was first conducted in 1992-93 and repeated in 1994-95, 1996-97, and 1998-99. The study is a multiple regression model taking into account five independent variables: school, rank, time in rank, gender, and race. Other variables have been included in the study at various times but have been discarded as not sufficiently predictive. The most recent study did not find any statistically significant differences in faculty salaries by gender or race.

### ***School of Medicine Multicultural Resource Center***

The Multicultural Resource Center in the School of Medicine moved into its offices in Duke Clinic in January of 2001. The Center's mission is to embrace commonalities and celebrate diversity by providing educational opportunities and an organized voice for underrepresented minorities on workplace, educational, and health system issues. (This year minority students make up 25% of the current first year class of medical students.) The Center houses programs such as the Multicultural Health Initiatives, Community



Health Initiatives, Minority Faculty Development, and Duke's branch of the national Minority Medical Education Program, which, using a matching grant of \$4.3 million over the next five years, will begin sponsoring a Summer Biomedical Science Institute in June 2001. The Center also sponsors a lecture series on cultural competency in medical education and a discussion series on race and medicine.

#### ***SAFE on Campus***

SAFE (Students, Administrators, and Faculty for Equality) on Campus is a program through which all members of the Duke community can actively show support for their lesbian, gay, bisexual, and transgender colleagues. SAFE on Campus members attend two orientation sessions and receive a resource manual. Members also receive SAFE on Campus buttons and stickers which they can display in their workplace or residence to indicate that they are an "ally" – a safe haven for open discussion and expression of LGBT issues.

#### ***Office for Institutional Equity's Equity Institute***

The Duke University Office for Institutional Equity's Equity Institute provides training programs on diversity issues, sexual harassment prevention, disability issues, and affirmative action/EEO responsibilities to departments throughout the University. In 1999-2000, a total of 1,219 attendees from over 300 departments participated in the Equity Institute, which provided training in the areas mentioned above in sessions held throughout the fall and spring. More than thirty special presentations customized for specific groups and departments on various equity issues were also made throughout the year. In collaboration with Educational Media Services, an on-line continuing education course on diversity and equity issues for medical faculty is currently being developed. Information and resources on all areas covered by the Office for Institutional Equity are also available on OIE's web site.

#### ***Other Departmental Training***

Some departments employ outside consultants for diversity training. Auxiliary Services contracted with SST Communications to hold a "Cultural Diversity on Campus" session for all Housing Management employees; because of positive response, this session will be repeated for employees in other Auxiliaries departments. Facilities Management has held training sessions on working with lesbian, gay, bisexual and transgender employees, facilitated by a representative from Counseling and Psychological Services. Facilities Management has also held various other diversity and sensitivity training sessions.

#### **4. Other**

*The "other" category embraces any other policies, programs, or practices not readily identifiable in the previous five groups or where there was an overlap between or among groups.*

#### ***Minority and Women-Owned Business Enterprise Initiative***

The Minority and Women Business Enterprise Program is designed to increase the level of participation by minority and female vendors at Duke University and its affiliates. The





program was inaugurated in 1988. Payment volumes to minority and women-owned businesses are approximately \$20 million/annum. The Office of Procurement Services coordinates the M/WBE Program. Fifty percent of one full-time staff member's time is dedicated to this program. The M/WBE Coordinator is responsible for identifying and recruiting qualified M/WBE vendors, creating and maintaining an accurate and up-to-date database of minority and female vendors, and providing this information to the University community.

### ***Martin Luther King Commemoration Events***

Duke University celebrates Martin Luther King Day with a variety of activities throughout the campus. This year's commemoration will have a theme of remembrance, reconciliation, and restitution, with a focus on South Africa. A committee of twenty people with representatives from all segments of the University is planning the events, which will begin with a lunch hour candlelight vigil with various employees participating as performers, readers, and "testifiers."

### ***Samuel DuBois Cook Society***

The Cook Society was founded in 1997 to honor Duke's first black professor. The Society's mission is to recognize, celebrate, and affirm the presence of African American students, faculty, and staff at Duke. The Society provides a forum for the analysis and discussion of issues with an impact on the lives of African Americans, addresses the organizational and structural issues that impede the development of a sense of community at Duke, and works to enhance Duke's capacity for becoming a truly inclusive community. Each active member serves as a mentor to at least one person of African descent enrolled or employed at Duke.

### ***Minority Business Consulting Program***

The Minority Business Consulting Program offers confidential business assistance to qualified local ethnic minority-owned companies. This program is specifically designed for small companies in the Triangle Area which do not have the resources to pay for these services. This program is supported by the Fuqua School of Business and the North Carolina Institute for Minority Economic Development and funded by corporate grants and the U.S. Small Business Administration. The mission of the MBCP is to provide consultation for ethnic minority-owned businesses in the Triangle area, and to enhance their competitiveness and profitability. Available areas of consultation include Marketing, Business Plan Assistance, Strategic Planning, Management Information Systems, Inventory Control, Production Scheduling, Manufacturing, Accounting Systems/Business Ratios, Growth Management, Financial Planning and Control, Human Resources, Operations, and Industry Analysis.

### ***Other Campus Groups***

Duke University is home to many campus groups which provide meeting places and support for students, faculty, and employees. These groups include:





Samuel DuBois Cook Society  
Black Campus Ministries  
The Freeman Center for Jewish Life  
Hindu Students Council  
International Students and Scholars  
Graduate Students of Color  
The Hurston-James Society  
African-American Dissertation Support Group  
The Black Graduate and Professional Student Association (BGPSA)  
Diya (South Asian American Association)  
Duke Chinese Students and Scholars Association (DCSSA)  
Duke Korean Student Association (DKSA)  
Taiwanese Student Association (TSA)  
Duke University Turkish Student Association (TSA-Duke)  
El Concilio Latino/Hispano/Americano  
Native American Student Coalition (NASC)  
Women in Science and Engineering  
The Graduate and Professional Women's Network (GPWN)  
Center for Lesbian, Gay, Bisexual & Transgender Life  
International House  
The Mary Lou Williams Center for Black Culture  
Office of Intercultural Affairs

### ***Duke-Durham Neighborhood Partnership***

The Duke-Durham Neighborhood Partnership Initiative (NPI) was created in 1996 to develop a targeted, collaborative approach to Duke's tradition of serving Durham residents. The wide-ranging initiative is a partnership with nonprofit organizations, residents, and schools in twelve neighborhoods and seven public schools close to campus. Duke channels and leverages resources to address neighborhood needs identified by residents as priorities. Since 1996, Duke has raised some \$5 million in support of its partner communities. These neighborhoods are home to many Duke faculty and staff and also include some of the city's lowest-wealth neighborhoods. Some examples of the collaborative work of the NPI and Duke's engagement follow.

### ***Schools***

A full-time Duke position was established to serve as a liaison with the partner schools. Programs in schools include a literacy tutoring program for K-3 children coordinated by Duke's Community Service Center, with support from the financial aid office, Glaxo Wellcome, more than 300 Duke students, and professors from Duke's education program. Arts programming in the schools has been expanded through funding from an anonymous donor and help from the Duke Institute of the Arts, the Duke Museum of Art, the Alumni Association, and the Office of Community Affairs. Duke helped launch STARS!, a six-week summer program for entering kindergartners with little or no



preschool experience. Duke has also helped secure more than \$1 million in grants from IBM and AT&T for computer equipment and software training for teachers in the schools. Other schools initiatives include an award-winning mentoring and summer jobs program for at-risk teens and support for one of only two school-based health care clinics in the state's elementary schools. Duke also established a retirees' organization whose 50 members regularly volunteer in one of the partner schools.

#### *Housing and other projects*

Through its support of the Self-Help Credit Union (via a \$2 million affordable housing loan) and Habitat for Humanity, Duke has helped renovate or construct more than forty houses in Walltown, a low-income Durham neighborhood near Duke. Some 30 more affordable homes are planned. Through loans and sweat equity, residents were able to become homeowners, boosting the neighborhood's relatively low 20% home ownership rate. One-third of the houses that have been rehabilitated are now owned by Duke employees. With more than \$500,000 in grants from Duke, the University also subsidized the creation of two community centers in Walltown. The St. James Family Life Center, situated in an old elementary school, contains a children's library, a computer lab, and a job training center. An old grocery store that has been a crime magnet in recent years has been transformed into the headquarters for the Walltown Neighborhood Ministries, a coalition of black and white churches involved in grassroots community work in Walltown to eliminate poverty housing, increase home ownership, care for the elderly, improve support for parents and families, and build relationships with the area's growing Hispanic population. A grant to the ministry from The Duke Endowment allows four Duke Divinity School students to live and work in the neighborhood while serving as chaplain interns. The grant also supports a parish-nurse program run by the Divinity School and Nursing School.

In other neighborhoods, Duke also helps support community centers. The University has provided more than \$200,000 to purchase a building for the new West End Community Juanita McNeil-Joseph Alston Teen Center, which opened in the fall of 2000. The center serves more than 30 disadvantaged youth in a wide array of programs. Duke students from a first-year dorm provide mentoring and tutoring at the teen center.











